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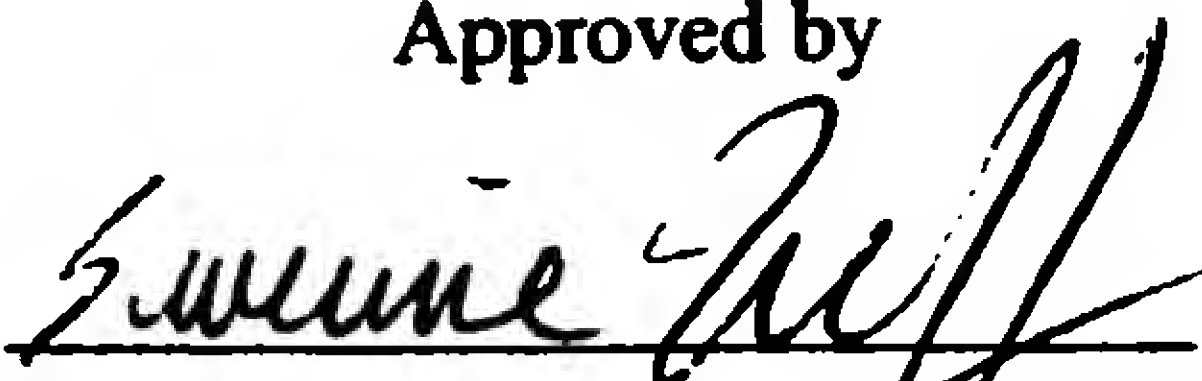
**MAHLER AND BACH:
COUNTERPOINT AND POLARITIES IN FORM**

by
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A dissertation submitted to the faculty of the University of North Carolina at
Chapel Hill in partial fulfillment of the requirements for the degree of Doctor of
Philosophy in the Department of Music.

Chapel Hill
2002


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ABSTRACT

MAHLER AND BACH:

Counterpoint and Polarities in Form
(Under the direction of Severine Neff)

The purpose of this thesis is twofold. On the one hand, it is a catalogue of documents linking Gustav Mahler's thought to Johann Sebastian Bach. On the other, it is an analytic-aesthetic study showing how Mahler's use of contrapuntal procedures influenced the tonal form of his works written after 1901: specifically, *Kindertotenlieder*, the Scherzo and Rondo-Finale of Symphony No. 5, and the first movement of Symphony No. 8. Mahler's compositional indebtedness to Bach is generally acknowledged but difficult to document. The first chapter is a catalogue of quotations and references precisely linking Mahler to Bach – the first of its kind. The list culminates on the editorial marks of Mahler in his own copy of the *Bachgesellschaft*, showing that the scores to Bach's Orchestral Suites are those most heavily annotated. In chapter two I analytically and aesthetically discuss Mahler's 1909 arrangement of two of Bach's Orchestral Suites and argue that the aesthetic basis of Mahler's arrangement – the fusing of two of Bach's Suites into a single work beginning in B minor and ending in D major – grew out of his deep-seated beliefs in nineteenth-century German aesthetics. Particularly Goethe's conversations books with Eckermann stimulated Mahler to value the principle of structural polarity in artistic forms. I contend that Mahler's interest in Bach's counterpoint in the middle of his career produced new tonal forms built

around musical dualities related to contrapuntal techniques – specifically, the alternation of homophonic versus contrapuntal textures or of passages in strict versus free counterpoint. Chapters 3, 4, and 5 show that Mahler's contrapuntal presentations created polarities of key, texture, text, and technique in the tonal form of *Kindertotenlieder*, the Scherzo and Rondo-Finale of the Fifth Symphony, and the first movement of the Eighth. Thus, I argue that Mahler's intense study of Bach's counterpoint offered him a new structural approach in his middle-period compositions.

ACKNOWLEDGEMENTS

The author wishes to express her deep appreciation to the many persons who so generously contributed to this project.

Dr. Ralph Kohn in London allowed me to view Mahler's copy of the *Bachgesellschaft* including the precious annotations particularly on the score of the Suites. Without Dr. Kohn's kindness and generosity the first two chapters of my dissertation simply could not exist.

Diane Pettit and the staff of the Music Library at the University of North Carolina at Chapel Hill helped me locate certain of the manuscript materials shaping large portions of my dissertation. I also thank them for their expertise and kindness.

I acknowledge my advisor, Severine Neff, for her invaluable suggestions concerning the aesthetic and analytic portions of the text and for her continued support during the project. The Thursday night sessions of "tea and talk" helped make my dissertation a reality.

I also wish to thank various persons for their help with various aspects of the project: the late Professor James McKinnon and Professor Emeritus James Haar of the University of North Carolina at Chapel Hill, Letitia Glozer, John Brackett, and Seth Coluzzi.

Finally I thank my husband, Tom, my daughters, Mimi and Mikyu, and my parents, Dr. E Hyock Kwon and Mrs. Kija Kwon for their devoted love and support.

PREFACE

The purpose of this thesis is twofold. On one hand, it is a catalogue of documents linking Gustav Mahler's thought to Johann Sebastian Bach. On the other, it is an analytic-aesthetic study showing how Mahler's use of contrapuntal procedures influenced the tonal form of his works written after 1901: specifically, *Kindertotenlieder*, the Scherzo and Rondo-Finale of Symphony No. 5, and the first movement of Symphony No. 8. Mahler's compositional indebtedness to Bach is generally acknowledged but difficult to document. The first chapter of this thesis is a catalogue of quotations and references precisely linking Mahler to Bach – the first of its kind. The list culminates on the editorial marks of Mahler in his own copy of the *Bachgesellschaft*, making available for the scholarly community the list of annotations in the scores.

Mahler's markings on the texts of the Orchestral Suites in B minor and D major are undoubtedly the most detailed and significant manuscripts connecting the two composers, for Mahler would ultimately fuse together these scores of Bach into his own arrangement of the Suite. The compositional, structural, and aesthetic consequences of this arrangement, the Mahler-Bach Orchestral Suite, are explored in Chapter Two. Mahler alters the Bach Suites in such a manner that the work begins with dances in B minor and ends with those in D major, a dual-key polarity similar to that in his symphonies. I argue that Mahler's interest in such polarities grew out of his deep-seated belief in nineteenth-century German

aesthetics, particularly the writings of Johann Wolfgang von Goethe. Goethe's conversations books with Eckermann particularly stimulated Mahler to consider inherent structural and textual polarities of artistic forms – a belief influencing the Bach arrangement.

Many of the writings of Mahler's contemporaries documented in Chapter One acknowledge Mahler's preoccupation with Bach in his middle period. Subsequent scholars – Henry-Louis de La Grange, Hans Eggebrecht, Donald Mitchell, Kofi Agawu, E. Mary Dargie, Alexander Odefey – particularly single out Baroque techniques in the song cycle *Kindertotenlieder*. None of the above scholars, however, connect Mahler's mid-life preoccupation with counterpoint to his penchant for polarity in tonal form – a constant concern of all his compositions. I contend that Mahler's interest in Bach's counterpoint at this point in his life produced new tonal forms shaped through the alternation of homophonic and contrapuntal sections. Instead of being confined to local imitation or canons such as those in the First and Fourth Symphonies, the use of strict counterpoint and contrapuntal textures becomes a major compositional resource for shaping long-term connections through textural means. I use *Kindertotenlieder* to demonstrate my points. Thus, I argue that Mahler's intense study of Bach's counterpoint led him toward a new venue for organizing his compositions.

The final two chapters investigate the uses of contrapuntal and homophonic textures in three works which Mahler's contemporaries particularly recognized as "Bach-influenced": the Scherzo and Rondo-Finale of the Fifth Symphony and the first movement of the Eighth. In the Fifth Symphony I show

that the alternation of sections using structural relations generated from contrapuntal combinations. I define “contrapuntal combination” as Schoenberg’s term for the theme, “basic shape,” or “point of departure” of a contrapuntal work. The variation of such combinations along with sections of more freely structural counterpoint generates the movements’ tonal forms. In the Scherzo the main sections are written exclusively in free counterpoint (without combination) that contrasts the invertible procedures in the three trios. The Rondo-Finale presents various themes in strict contrapuntal combinations until, at the climax, all the major themes sound simultaneously against each other, a combination worthy of Bach’s *Art of Fugue*. The textures of Mahler’s Eighth Symphony do not only proceed in strict imitation or invertible counterpoint but indeed they are formed of motives and shapes that are polymorphous in character – retrogrades, inversions, and permutations of each other. The intricacies of their development produce contrasts of contrapuntal texture, thus offering another contrapuntal technique to present the dualities of tonal form.

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CHAPTER ONE:

Mahler and Bach – The Documentary Evidence

Mahler's compositional indebtedness to Bach is generally acknowledged but difficult to document precisely. Mahler scholar Donald Mitchell explains:

There is not a wealth of references to Bach by Mahler himself, or at any rate I have only been able to discover a few (one must suppose that Bach was among the 'Brothers in Apollo' to whom Mahler at one stage dedicated the fiercely contrapuntal Rondo-Burleske from the Ninth). Mahler's admiration for Bach was certainly wide and deep, and as Mahler grew older, came to mean more and more to him, and also (I believe) to have a progressively increasing influence on his own music....¹

The purpose of this chapter is simply to clarify the primary sources and documents connecting Mahler and Bach. These consist of a catalogue of statements by Mahler and his contemporaries (1877-1910), documentation concerning his performances of Bach's music, his rearrangements, and, particularly, his recompositions. This chapter considers the conductor's score of Bach's Cantata, no. 19, "Es erhub sich ein Streit," and the extant manuscript material from Mahler's own copy of the *Bachgesellschaft* concerning Mahler's recomposition of Bach's Orchestral Suites for a 1909 New York performance. As we shall see, the links between Bach and Mahler exist across many levels –

¹ Donald Mitchell, *Gustav Mahler, Vol. II: The Wunderhorn Years* (Berkeley: University of California Press, 1995), 346.

inspirational, technical, and compositional – and virtually throughout Mahler’s lifetime.

1. Chronology of Documents by his Contemporaries about Mahler and Bach

Much of the literature concerning the relationship of Bach and Mahler is a mere description of the latter’s Conservatory study of the *Well-Tempered Klavier* under his piano pedagogue Julius Epstein (see nos. 1–4, 7, 19), or his private playing of Bach’s works throughout his life. Other comments attest to his admiration for and internalization of Bach’s music, particularly the *St. Matthew Passion* (nos. 5, 6, 17), whose closing chorus he performed in 1896; yet others are laudatory or critical comparisons of the surface quality of Mahler’s music to that of Bach (nos. 8, 11–13, 20). The first specific connection of Mahler’s music to Bach – especially in his middle-period symphonies – is made by Richard Specht in 1913 (nos. 10–11) and reiterated by Guido Adler in 1916 (no. 15), Paul Bekker in 1921 (no. 16), Romain Rolland in 1931 (no. 18), Hans Redlich in 1955 (no. 21), and Bruno Walter in 1957 (no. 22). As early as 1916, Guido Adler comments on the Mahler-Bach relation with regard to the Eighth Symphony (nos. 13–15).

1. 1877 Mahler’s letter in July from Iglau to Julius Epstein, who taught

Mahler at the Conservatory:

Your “wohltemperiertheit” will forgive me if I modulate out of this gentle adagio of my feelings, through the dissonances of my anger, into a tempestuous finale that is really to be understood as “ungemein

rubato.”²

2. 1884 The following excerpt is from the writings of **Friedrich Löhr**, a member of Mahler’s student circle in Vienna, an archeologist and philologist. He played an important role in the birth of the Eighth Symphony, reminding Mahler that the text he was setting, *Veni Creator Spiritus*, was incomplete. In 1906 and 1924 Löhr helped edit the first collection of Mahler’s letters. He thus described hearing Mahler at the piano during a sojourn at his house in Perchtoldsdorf on 1 July 1884:

How can words convey the effect of his playing? Looking back, I am awestruck by the sublime and exclusive privilege of hearing him in the Beethoven sonatas, Bach’s *Well-tempered Clavier* and much else by the most-loved masters....³

3. 1892 **Ferdinand Pfohl**, music critic of *Hamburger Nachrichten*, reported that he had visited Mahler’s apartment in Hamburg in 1892 and described his room:

I found him in a back-situated room. There was a sofa with a cushion on it, there he lay down with the piano reduction of a Bach cantata in his hand, whose choral setting he had been obviously studying.⁴

² Gustav Mahler, *Selected Letters of Gustav Mahler*, trans. Eithne Wilkins and Ernst Kaiser, ed. Knud Martner (New York: Farrar, Straus, Giroux, 1979), 54. Martner suggested that the word ‘wohltemperiertheit’ is a pun on Bach’s *Das Wohltemperierte Klavier* and the German ‘Wohlgeehrte,’ extrapolating that Mahler doubtlessly played Bach’s work during his lessons with Epstein.

The German text of the letter is given in *Gustav Mahler: Briefe*, ed. Herta Blaukopf (Vienna: Paul Zsolnay Verlag, 1996), 26-7: Ihre “Wohltemperiertheit” werden entschuldigen, wenn ich aus diesem sanften Adagio meiner Gefühle durch die Dissonanzen meines Zornes in ein wildes Finale hineinmoduliere, das wirklich “ungemein rubato” aufzufassen ist.

³ Norman Lebrecht in *Mahler Remembered* (London: Faber and Faber, 1998), 36.

The original German text is taken from *Gustav Mahler: Briefe*, 433: Doch was lässt mit Worten über die Wirkung dieses Spiels sich sagen – es schauert mich nur vor der Höhe des Glücks, das mir zuteil ward, denk ich daran zurück, was ich in diesen Jahren als alleiniger Zuhörer von Mahler empfang, alle Beethoven-sonaten darunter, Bachs Wohltemperiertes Klavier und manch andres Werk des geliebtesten Meisters....

⁴ Ferdinand Pfohl, *Gustav Mahler: Eindrücke und Erinnerungen aus den Hamburger Jahren*,

4. 1893 **Josef Bohuslav Foerster**, the notable Czech composer and husband of the dramatic soprano Berta Lauterer, who sang under Mahler in Hamburg (1893-1901) and Vienna (1901-13). The composer visited Mahler in March, 1893 and described Mahler's room:

The piano stood in the middle and was covered with music; against the wall was the upright piano that Mahler mostly used. The score of a Bach cantata lay open on the stand.... Understandably, music was the beginning of our conversation; J. S. Bach was his hero. When I had seen the open score of a cantata on his piano top, I made some remark about the great Leipzig cantor. Mahler played a couple of marvelous pieces and voiced his amazement that Bach's cantatas were so seldom performed that they were almost unknown. We would occasionally take a score of the great polyphonist in hand, Mahler, it appeared, immersing himself particularly in studying those of Bach's works that enjoyed the least popularity. He sought in them refreshment and purification from his theatrical activities, work that often forced him to tackle compositions of a kind that ran directly against his own inclinations.⁵

5. 1896 Letter from **Bruno Walter** to his parents on 6 April 1896:

Mahler gave me for an Easter present the scores of the *St. Matthew Passion*, *St. John Passion*, and *Christmas Oratorio* of Bach, and the

ed. Knud Martner (Hamburg: Verlag der Musikalienhandlung Karl Dieter Wagner, 1973), 32: Ich fand ihn in einem rückwärtig gelegenen Zimmer. Dort stand ein Ruhesofa mit Kissen darauf, dort lag er, den Klavierauszug einer Bachschen Kantate in der Hand deren Chorsatz er augenscheinlich studiert hatte.

5 Josef B. Foerster, *Der Pilger, Erinnerungen eines Musikers* (Prague: Artia, 1955), 353-4, trans. Lebrecht in *Mahler Remembered*, 75: Das Klavier stand in der Mitte des Raumes und war ganz mit Musikalien bedeckt; seitwärts an der Wand stand das Pianino, das von Mahler vorgezogen wurde, auf dem Pult lag die Partitur einer Kantate von Johann Sebastian Bach aufgeschlagen.... Wie sich von selbst versteht, galten unsere Gespräche von allem Anfang an der Musik, und Johann Sebastian Bach war ihr Held. Da ich auf dem Klavierpult die aufgeschlagene Partitur der Kantate gesehen hatte, machte ich eine Bemerkung über den grossen Leipziger Kantor. Mahler fügte ein paar bewundernde Sätze bei und äusserte zugleich sein Bedauern, dass Bachs Kantaten so selten aufgeführt werden und daher fast unbekannt sind. Wir nahmen dann des öfteren Partituren des grossen Polyphonikers zur Hand, umsomehr als Mahler, wie es den Anschein hatte, in das Studium gerade jener Werke Bachs vertieft war, die sich keiner Popularität erfreuten. Er suchte in ihnen Erquickung und Reinigung nach seiner Theatertätigkeit, die ihn nicht selten zwang, sich mit Kompositionen von einem seinen Neigungen ganz zuwiderlaufenden Charakter zu befassen.

possession of these scores is a great pleasure for me.⁶

6. 1902 Alma Mahler describing Mahler's summer cottage at Meiernigg:

He had a piano there and a complete Goethe and Kant on his shelves: for music, only Bach.⁷

7. 1910 Paul Stefan, music critic and supporter, describing Mahler's youth:

At the Conservatoire they said that a pianist of exceptional gifts was latent in him, one of those who might enter the lists with Rubinstein and Liszt. But it was on account of the spirit, not of mere technique.... The whole dread of the mystical abyss enveloped his Beethoven, and Mahler's friends have never again heard the last sonatas played in such a fashion. He fled to Beethoven out of the sordid atmosphere of the theatre – to Beethoven and to Bach.⁸

8. 1913 Richard Specht, music critic of *Die Zeit*, devoted disciple:

On a general description of Mahler:

His judgment on musicians – naturally chosen from his idols, Beethoven, Bach, Mozart, and Wagner – was not to be taken entirely seriously, if he was not under the immediate impression (influence) of a work, be it as listener or as conductor.... According to his writings, that he and Strauss come from the opposite poles and then meet in the center of music; at that same center which is the “realm of the Mothers,” in which float the creation (culture) of a Beethoven, Bach, [or] Wagner, as well as those of a Brahms or Wolf, a Reger, a Bruckner,

⁶ Bruno Walter, *Briefe 1894-1962* (Frankfurt: S. Fischer Verlag, 1969), 18: Mahler hat mir zu Ostern die Partituren von der Matthäuspassion, der Johannespassion und dem Weihnachtsoratorium von Bach geschenkt, deren Besitz mir sehr grosse Freude macht.

⁷ Alma Mahler, *Gustav Mahler: Memories and Letters*, trans. Basil Creighton, ed. Donald Mitchell (London: John Murray, 1973), 45. The German text is given in Alma Mahler-Werfel's *Erinnerungen an Gustav Mahler*, Donald Mitchell ed. (Frankfurt: Propyläen Verlag, 1971), 71: Im Zimmer stand ein Flügel und auf den Regalen ein vollständiger Goethe und Kant. Ausserdem an Noten nur Bach.

⁸ Paul Stefan, *Gustav Mahler: Eine Studie über Persönlichkeit und Werke*, revised ed. (Munich: R. Piper & Co. Verlag, 1920), 32. Translation by T. E. Clark (New York: Schirmer, 1913), 19: Am Konservatorium sagte man ihm, dass ein Pianist von glänzenden Gaben in ihm verborgen sei, der zu den Grössten, ja zu Liszt und Rubinstein in die Schranken treten könne. Aber nicht am Können lag es, sondern am Geist.... Alle Schauer des mystischen Abgrunds wehten um seinen Beethoven und die letzten Sonaten sind seinen Freunden nie wieder so erklingen. Zu Beethoven flüchtete er aus dem Elend des Theatertreibens, zu ihm und zu Bach.

or Pfitzner.⁹

9. Commenting on Mahler's middle symphonies:

With the Fifth began a new symphonic style for Mahler; one felt the experience of Bach which entered his life; out of the orchestration of the earlier works came an entirely noteworthy polyphony and polyrhythm.¹⁰

10. On the Fifth:

A phenomenal movement, full of overflowing strength, "with grasping organs (tentacles)" reaching for all the enlightenment of being – full of art, of a freedom, a sovereignty of opposites coming together, combining in twos, in threes, taking each other by the forelock and always reaching higher into an uproar of themes. In the Rondo-Finale of this work there is an intensification (*Steigerung*) which Mahler's total opus – in regard to the mastery in the sense of Bach's musical meaning – has no equal.¹¹

11. 1913 Arnold Schoenberg

Refuting the criticism that Mahler's themes were unoriginal,

Schoenberg wrote:

⁹ Richard Specht, *Gustav Mahler* (Berlin: Schuster & Loeffler, 1913), 31, 33: Sein Urteil über Musiker – von seinen Göttern Beethoven, Bach, Mozart, Wagner natürlich abgesehen – war nie ganz Ernst zu nehmen, wenn er nicht eben unter dem unmittelbaren Eindruck eines Werkes stand, sei es als Zuhörer oder als Dirigent.... Daher auch sein Wort, dass er und Strauss von den entgegengesetzten Polen herkommen und sich dann im Mittelpunkt der Musik begehen; in demselben Mittelpunkt, demselben "Reich der Mütter," in dem auch die Gebilde der Beethovenschen, Bachschen, Wagnerschen Schöpfungen ebenso wie die eines Brahms oder Wolfs, eines Reger, Bruckner oder Pfitzner schweben.

¹⁰ *Ibid.*, 279: Mit der "Fünften" setzt ein neuer symphonischer Stil Mahlers ein: man fühlt das Erlebnis Bach, das in sein Leben getreten ist; aus der Orchestrophonie der früheren Werke wird eine ganz merkwürdige Polyphonie und Polyrhythmik.

¹¹ *Ibid.*, 290-1: Ein phänomenaler Satz, von einer überschäumenden Kraft, "mit klammernden Organen" alles Lichtes des Daseins herreissend – und mit einer Kunst, einer Freiheit, einer Souveränität der gegeneinander geführten, zuzweit und dritt kombinierten, sich gegenseitig beim Schopf nehmenden und immer höher hinanbrausenden Themen, die nur noch in dem Rondofinale dieses Werks eine Steigerung und im Gesamtwerk Mahlers – was die Meisterschaft in Bachschem Musiksinne betrifft – nicht seinesgleichen hat.

...it is not at all necessary for a piece of music to have an original theme. Otherwise, Bach's chorale preludes would not be works of art. But they certainly are works of art!¹²

12. Refuting the writer who described Mahler's Symphonies as "gigantic symphonic potpourris":

The term "potpourris" naturally applies to the banality of invention and not to the form, for "gigantically conceived" is supposed to apply to the form. Now, in the first place, there are also potpourris of classical music, from operas of Mozart, Wagner, etc. I do not know whether such a thing exists, but in any case it is easily conceivable that a potpourri could also consist of nothing but the most beautiful themes of Bach and Beethoven, without being anything but potpourri for all that.¹³

13. 1916 Guido Adler

For the reading of Bach:

To pursue his reading, no free minute that Mahler saved in his difficult and demanding profession was left unused. To refresh himself he examined masterpieces of music literature and buried himself in the study of Bach's works, which he placed before him to recover and strengthen himself from the confusion of the day.¹⁴

14. On the genre of the Eighth Symphony:

...Only in the Eighth Symphony, in which he worked out the basic plan of the Second in an entirely new manner, did he have recourse, in both parts, to texts. In spite of its outward appearance as a cantata, it is a symphony in name and in inner character. The formal element is co-

¹² Arnold Schoenberg, "Gustav Mahler," in *Arnold Schoenberg: Stil und Gedanke*, ed. Ivan Vojtech (Frankfurt am Main: Fischer Taschenbuch Verlag, 1992), 24. Translation is taken from "Gustav Mahler" in *Style and Idea*, trans. Leonard Stein (Berkeley: University of California Press, 1984), 458: Es ist überhaupt nicht nötig, dass ein Musikstück ein originelles Thema habe. Denn sonst wären Bachs Choralvorspiele keine Kunstwerke. Und das sind aber doch wohl Kunstwerke!

¹³ *Ibid.*, 28, translation, 462: Potpourri, das geht natürlich auf die "Banalität der Erfindung" und nicht auf die Form, denn auf die Form soll sich "riesenhaft angelegte" beziehen. Nun aber gibt es erstens auch Potpourri aus klassischer Musik: aus Opern von Mozart, Wagner, etc. Ich weiss nicht, ob es das auch bloss aus den schönsten Themen von Bach oder Beethoven bestehen könnte, ohne darum etwas anderes als ein Potpourri zu sein.

¹⁴ Guido Adler, *Gustav Mahler* (Vienna: Universal Edition, 1916), trans. Edward R. Reilly in *Gustav Mahler and Guido Adler: Records of a Friendship* (Cambridge: Cambridge University Press, 1982), 33.

determinative here: the first movement corresponds completely to a sonata movement, while the second part is a synthesis of Adagio, Scherzo and Finale.... Just as J. S. Bach designed individual cantatas as "Concerto," so Mahler could send this cyclic composition into the world as a symphony, as his Eighth. To be more precise: in the former the word "Concerto" (an instrumental form) is only an attendant marking, for the whole definitely sprang from the soil of the cantata: in the latter, however, the symphonic element was pre-determinative, while the words – as important and significant as they are – are the secondary, attendant element for the composition.¹⁵

15. About the general background of Mahler's music:

Mahler was far-seeing. He built in organic union with tradition. His creations, in addition to their intrinsic value, also have meaning for the future. Beethoven, Schubert, Bruckner, Brahms in the symphonic sphere, Bach in polyphony (from the Fifth), Wagner, Liszt, and Berlioz in orchestral and musical-poetic relationships, are the structural pillars of the Mahler art-work; the ground on which it is erected is that of Austrian folk music.¹⁶

16. 1921 Paul Bekker, former violinist in the Berlin Philharmonic, conductor

and music critic, made analytic comments on the Fifth Symphony:

Up to now, Mahler almost always felt primarily in vocal style and tended towards settings in a homophonic style, but now he came to know the value of the instrumental polyphonic style, out of which came the possibility of a new expression of *Steigerung*. The result is a loosening up and independence of the individual voices, and the enrichment of all of the harmonies. Indeed, he is, in a great extent, a Romantic and as such is basically tied in every musical conception to harmonic sensibility, in order to be able to reach in a polyphonic mode of freedom of, say, a Bach.¹⁷

¹⁵ *Ibid.*, 41.

¹⁶ *Ibid.*, 72.

¹⁷ Paul Bekker, *Gustav Mahlers Sinfonien* (Berlin: Schuster & Loeffler, 1921), 202: Mahler, bisher fast immer primär vokal empfindend und im Satz der homophonen Gestaltung zuneigend, lernt den Wert des instrumental polyphonen Stiles, die daraus sich ergebenden Möglichkeiten neuer Ausdruckssteigerungen, die Lockerung und Selbständigmachung einzelner Stimmen, die Bereicherung vor allem der Harmonik kennen. Zwar ist er in zu starkem Masse Romantiker und als solcher an das für jede musikalische Konzeption grundlegende harmonische Empfinden gebunden, um im polyphonen Stil je zur Freiheit etwa eines Bach gelangen zu können.

17. 1922 Romain Rolland, a French musicologist and writer, author of *Jean*

Christoph, wrote unfavorable criticisms of Mahler's work:

They are enormous, massive, and cyclopean structures. The melodies upon which they are built are rough-hewn blocks of mediocre quality: they are banal, imposing only because of the solidity of their foundations and the obstinate repetition of the rhythmic patterns, which are adhered to with all the tenacity of an *idée fixe*. These musical [thinking of] agglomerated, learned, and barbarous, with harmonies at once coarse and refined, rely for their effect on sheer massiveness.... The thinking is basically neo-classical, somewhat softened and diffused. The harmonic structure is composite: in it the styles of Bach, Schubert, and Mendelssohn mingle with those of Wagner and Bruckner; with its pronounced taste for canon form it even reminds one of the music of Franck.¹⁸

18. Rolland's criticism of the Fifth:

...Excessively long (it lasts an hour and a quarter), and no inner necessity justifies its length.... Its themes are hackneyed: after a tritely tempestuous funeral march in which Beethoven is tempered by Mendelssohn, comes a scherzo, or rather a Viennese waltz in which Chabrier joins hands with old Bach.¹⁹

19. 1932 Gabriel Engel, concert violinist, composer, musicologist, and the

editor of *Chord and Discord*, wrote about Mahler's youth:

The friend who heard him play the piano during those days [when he had almost been banned from attending the Viennese Opera] (for he was then still a willing performer) reports that he poured a magnificent despair into his interpretation of Beethoven sonatas and Bach fugues, as though he were about to take leave of them forever.²⁰

20. Commenting on Mahler's instrumentation in general:

¹⁸ *Musiciens Aujourd'hui* (1922), 185. Translated in Henry-Louis de La Grange, *Gustav Mahler, Vol. III, Vienna: Triumph and Disillusion (1904-1907)* (Oxford: Oxford University Press, 1995), 206.

¹⁹ *Musiciens Aujourd'hui* (1922), 189. *Ibid.*, 207.

²⁰ Gabriel Engel, *Gustav Mahler: Song-Symphonist* (New York: David Lewis, 1932), 35. This is the first Mahler biography written in English.

Owing to this knowledge, in those days [he] blindly risked the sacrifice of musical content to the sensational effect of trick instrumental combinations. There was no emotion [to which] he could not give clear expression without abandoning a pure, many-voiced melodic method essentially as legitimate as that of Bach.²¹

21. 1955 Hans F. Redlich, about Mahler's texture:

A similar gradual development [along with his form] is noticeable in his textures as the diatonic homophony and two-part counterpoint of the earlier songs and symphonies changes almost imperceptibly to the more polyphonic manner of the middle symphonies. It is quite possible that Mahler's increasing interest in Bach led to the adoption of polyphonic technique in the symphonies of his maturity; but it should not be forgotten that Mahler was a born contrapuntist and that writing in canonically intertwined parts came quite easily to him. I for one believe that his growing predilection for strict polyphony had something to do with his tendency to avoid the excessive chromaticism and overt-seasoned harmony of the late romantics. It is a fact worth noting that fugal writing crops up for the first time in his work in the finale of Symphony V and that great variety of texture is provided by the only sets of variations Mahler ever composed: Adagio of Symphony VI and the two somewhat similarly planned rondo-finales of Symphonies V and VII. The climax of these tendencies was surely reached in the colossal double fugue in the first part of Symphony VIII and also by the fugal sections of the "Rondo-Burleske" in Symphony IX.²²

22. 1957 Bruno Walter, reflecting on the transitional period between the

Wunderhorn and middle period:

His first four symphonies are infiltrated with ideas, images, and emotions. From the Fifth to the Seventh inclusive, purely musical forms dominate. Between these two periods, he was absorbed in Bach: *The Art of Fugue* had a profound influence on his counterpoint. This is plain in the rondo-fugue of the Fifth....²³

²¹ *Ibid.*, 78.

²² Hans F. Redlich, *Bruckner and Mahler*, ed. Sir Jack Westrup (London: J. M. Dent and Sons Ltd, 1963), 158.

²³ Bruno Walter, *Gustav Mahler* (Vienna: Herbert Reinchner Verlag, 1936), 74. It is translated by Lotte Walter Lindt (New York: Alfred. A. Knopf, 1958), 117: Die gleichzeitige bedeutende Einwirkung von Gedanken, Vorstellungen, Gefühlen in den ersten vier Symphonien macht von der Fünften bis zur Siebenten einer Vorherrschaft des rein musikalischen Bildens Platz. Zwischen die beiden Perioden fällt eine hingebungsvolle Vertiefung in Bach, und namentlich

2. Mahler's Comments on his Relation to Bach

In extant letters, interviews and comments paraphrased by friends and associates, Mahler himself speaks, if briefly, on his devotion to the earlier master. His comments acknowledge the freedoms with which Bach's music is performed (nos. 1, 12-13), his particular affinity for the *St. Matthew Passion* (nos. 2, 4), his notion of polyphony gleaned from Bach (nos. 3, 7, 10), his problems with strict counterpoint in the Fourth Symphony (no. 5), and his expression of philosophic-musical Truths inspired by Bach's music (nos. 6-9, 11, 14).

1. 1893 Mahler's letter of 7 February 1893 from Hamburg to Gisella Tolney-Witt in Budapest, replied to the question, "Why is such a large apparatus as an orchestra necessary in order to express a great thought?":

You seem to have explored musical literature somewhat, and I assume that you are not *unacquainted with* very early and early music, up to the time of Bach. *First*, that the further back you go in time, the more elementary the terms relating to performance are, i.e. the more the composers leave the interpretation of their thought to the performers – for instance in Bach's work it is very rare to find the tempo indicated, or indeed any other hint of how he intends the work to be performed – there are not even such crude distinctions as *p* or *ff* etc.... "Well, does that mean that Bach was less than Beethoven or that Wagner is greater than he?" – in reply to which I will tell you, you little "tormenting spirit" – in order to answer this question you must apply to One who can behold man's entire history at a single glance. We are the way we are! We "moderns." Supposing I now prove to you that you demand a greater apparatus for your life than the Queen of England did in the

die *Kunst der Fuge* war es, die einen grossen Einfluss auf seine kontrapunktische Arbeit genommen hat.

seventeenth century....”²⁴

2. 1896 The letter of 3 April 1896 in Hamburg from **Natalie Bauer-Lechner** to **Albert Spiegler**, a friend of Mahler’s from their student days, was written in celebration of Spiegler’s birthday.²⁵ The first section was written by Bauer-Lechner, the second by Mahler. The following is taken from the first section:

For the rest I found G. well and very hungry and immensely busy and working hard as ever. I shall here have a chance of hearing all sorts of glorious things: Mozart’s *Requiem*, and some of the *St. Matthew Passion*, *Siegfried* and *Fidelio* next week.²⁶

3. 1898 **Bauer-Lechner** wrote of Mahler’s comments on “homophony and polyphony” in May 1898:

“In its highest form, as in its lowest, music reverts to homophony. The master of polyphony, and of polyphony alone, is Bach. The founder and creator of modern polyphony is Beethoven. Haydn and Mozart are not yet polyphonic. Wagner is really polyphonic only in *Tristan* and *Die Meistersinger*.” When I asked him [Mahler] for explanation and proof of this, he replied, “In the Ring the themes are mostly built up in chords: various figurations grow out of these. But in true polyphony the

²⁴ Mahler, *Selected Letters*, 147-49. The German text is taken from *Gustav Mahler: Briefe*, 128-31: Sie scheinen sich in der musikalischen Literatur umgesehen zu haben, und ich nehme an, dass auch die alte und ältere Musik bis Bach nicht ganz unbekannt ist. Ist Ihnen da nicht *zerlei* aufgefallen?

Erstens, dass, je weiter Sie in der Zeit zurückgehen, desto primitiver die Bezeichnungen für den Vortrag werden, d. h. desto mehr die Autoren die Auslegung ihres Gedankens den Interpreten überlassen. – Z. B. bei Bach finden Sie nur in den seltensten Fällen eine Tempobezeichnung oder sonst irgend eine Andeutung, wie er sich die Sache vorgetragen denkt – selbst die allergröbsten Unterscheidungen wie *p* oder *ff* etc. fehlen.... “Ja, war denn Bach kleiner als Beethoven oder ist Wagner grösser als er?” – Dann aber werde ich Ihnen sagen, Sie kleiner “Plagegeist” ... “dies zu beantworten müssen Sie sich an Einen wenden, der die ganze geistige Geschichte der Menschheit mit einem Blick übersehen kann.” – Wir sind einmal so, wie wir sind! Wir “Modernen”!.... Wenn ich Ihnen nun beweise, dass Sie, kleiner Plagegeist, einen grösser[en] Apparat für Ihr Leben beanspruchen als die Könige von England im 17. Jahrhundert....

²⁵ Spiegler’s sister was married to Siegfried Lipiner, a poet who wielded great influence on Mahler’s intellectual development.

²⁶ Mahler, *Selected Letters*, 181.

themes run side by side quite independently, each from its own source to its own particular goal and as strongly contrasted to one another as possible, so that they are heard quite separately."²⁷

4. 1899 **Bauer-Lechner** wrote of Mahler's plan to perform the *St. Matthew*

Passion on 15 March 1899:

"I should love time to perform the *St. Matthew Passion* in Vienna, for the benefit of the Pension Institute. I'd do it with two separate orchestras, one on the right, the other on the left. Similarly, there should be two separate choirs, as well as a third, which should actually be the congregation (the audience) and which would have to be placed somewhere else. Then there's the boy choir, which I would put high up in the organ loft, so that their voices would seem to come from heaven. You should hear the effect when question and answer are divided like this, instead of jumbled up together, as is always the case nowadays."²⁸

5. 1900 **Bauer-Lechner** reported Mahler's difficulties in strict counterpoint

when revising the Fourth Symphony during the Christmas holidays:

"You will hardly believe...that in the first movement, the scoring of that childishly simple and quite unselfconscious theme caused me untold trouble. It was more difficult to write than the most elaborated polyphonic passages! I'm much more accustomed to such complex

²⁷ Natalie Bauer-Lechner, *Recollections of Gustav Mahler*, trans. Dika Newlin, ed. and annotated by Peter Franklin (Cambridge: Cambridge University Press, 1980), 116. The German text can be found in Herbert Killian ed., *Gustav Mahler in den Erinnerungen von Natalie Bauer-Lechner* (Hamburg: Verlag der Musikalienhandlung Karl Dieter Wagner, 1984), 117: "Im Höchsten wird die Musik wieder, wie im Niedersten, homophon. Der Meister der Polyphonie, und überhaupt nur polyphon, ist Bach. Der Begründer und Schöpfer der modernen Polyphonie ist Beethoven. Haydn und Mozart sind noch nicht polyphon. Wagner ist wirklich polyphon nur im 'Tristan' und in den 'Meistersingern.'" Als ich ihn um Erklärung und Beleg dafür bat, sagte er: "Das kommt bei dem 'Ring' (dem Hauptbeispiel) daher, weil die Themen meist in Akkorden aufgebaut sind, an die sich, zu jenen gehörig, diese und jene Figur schliesst. Bei der eigentlichen Polyphonie aber laufen die Themen ganz selbständig neben einander her, vom eigenen Ursprung zu ihrem besonderen Ziele, möglichst gegensätzlich zueinander, dass man sie immer gesondert vernimmt."

²⁸ *Ibid.*, 123. For the original German text, see *Gustav Mahler in Erinnerungen*, 130: Ich möchte einmal die Matthäus-Passion in Wien (zu Gunsten des Pensions-Institutes) aufführen: mit zwei gesonderten Orchestern, eines rechts, das andere links; zwei ebenso getrennten Chören und einem dritten, der eigentlich die Gemeinde, das Publikum, sein soll und noch wo anders postiert werden müsste; dazu den Knabenchor, den ich hoch hinauf zur Orgel stellen würde, dass die Stimmen wie aus dem Himmel kämen. Du solltest die Wirkung sehen, wenn so Frage und Antwort verteilt und nicht, wie jetzt immer, wie Kraut und Rüben durcheinander gestreut würden."

interweaving, since as far back as I can remember my musical thinking was, oddly enough, never anything but polyphonic. But here I'm probably still suffering from a lack of strict counterpoint which every student who has been trained in it would use at this point with the greatest of ease."²⁹

6. 1901 Bauer-Lechner reported Mahler's delightedness with the

*Bachgesellschaft*³⁰ in March 1901 and reported Mahler's comments on

Bach:

"So often, Bach reminds me of those sculptured gravestones that show the dead sleeping with folded hands above their mortal remains. This holding fast to life, even beyond our earthly existence, touches me deeply. Such monuments are inspired by the profound desire for, and belief in, a life after death. Indeed, some people are attached to that life, while they are still here on earth, even more than to their physical existence. Bach, too, presents a stonily monumental aspect – so much so that only a very few moments are able to call him back to life. This impression is certainly largely caused by bad performances, which don't give us the remotest idea of how Bach's music sounded when he played it on the harpsichord. Instead of the real Bach, they give us a wretched skeleton of him. The chords are, as a rule, simply left out, as if Bach had written the figured bass without aim or purpose. But it is meant to be realized – and then what a ringing sound those surging chords produce! That is how his violin sonatas – played so ridiculously by just one little fiddler – should be performed, and the cantatas, too. Then, you'd be surprised how they sound!"

Mahler played Bach's cantata *Ich sündiger Mensch, wer wird mich erlösen?*³¹ Mahler called it a glorious work, perhaps even Bach's

²⁹ *Ibid.*, 162. The German text can be found in *Gustav Mahler in Erinnerungen*, 179: Wirst du es glauben, dass mir im ersten Satz die Instrumentierung des so kindhaft einfachen und seiner selbst ganz unbewussten Themas: die grösste Mühe gemacht hat – wie kaum der polyphonste Satz, an dessen komplizierte Wege und Verschlingungen ich viel mehr gewöhnt bin, da ich seltsamerweise von jeher nicht anders musikalisch denken konnte als polyphon. Hier aber fehlt mir wahrscheinlich heute noch der Kontrapunkt, der reine Satz, welcher da für jeden Schüler, der ihn geübt hat, spielend eingreifen müsste."

³⁰ According to an annotation by Peter Franklin, the *Bachgesellschaft* is the first collection of Bach's works published in Leipzig in 1851 and completed in 1900. Mahler was on the board of the *Neue Gesellschaft* founded under the direction of Hermann Kretzschmar for the purpose of the popularization and publication of practicable performing versions of Bach's music.

³¹ Donald Mitchell pointed out that the cantata's correct title must be "Ich elender Mensch, wer wird mich erlösen?" See his *Mahler, Vol. II*, 349. La Grange suggested, alternately, that the cantata was either "Ich elender Mensch" (no. 48) or "Ich armer Mensch, ich Sundenknecht" (no. 55) in his *Gustav Mahler, Vol. 2, Vienna: The Years of Challenge (1897-1904)* (Oxford: Oxford University Press, 1995), 337, n. 71.

most glorious – one which opens up the widest perspectives. In this connection, he mentioned Bach's tremendous freedom of expression, which has probably never been equaled since, and which is founded on his incredible skill and command over all resources. "In Bach, all the seeds of music are found, as the world is contained in God. It's the greatest polyphony that ever existed!"³²

7. 1901 **Bauer-Lechner** reported Mahler's view of the genius of Bach in the summer of 1901:

Of the Bach chorales, which are based on old and universally familiar hymns, Mahler observed: "He was not concerned with the originality of his themes. What mattered to him was how to handle them; how to develop and transform them in a multiplicity of different ways – as the Greeks, too, repeatedly dealt with the same subjects in their tragedies and comedies, but each time in new, manifold and differentiated forms."

He is constantly filled anew with admiration for Bach's genius, which he declares one of the greatest that ever existed. "His polyphony is a marvel beyond belief, not only for his own, but for *all* times." He was quite beside himself over the Third motet (large Bach edition):³³

³² Bauer-Lechner, *Recollections*, 165-6. The German text is located in *Gustav Mahler in den Erinnerungen*, 184: "Bach erinnert mich so oft an die Grabmäler von Stein, wo der Tote mit gefalteten Händen über seiner Asche ruht, die immer etwas Rührendes für mich haben in ihrem Festhalten des Lebens über diese Existenz hinaus. Es liegt ihnen der tiefe Wunsch und Glaube an ein Fortleben zugrunde, an dem sie schon hier oft mehr als am wirklichen Leben hängen. Bach hat auch etwas so Versteintes, dass die wenigsten sich ihn ins Leben zurückzurufen imstande sind. Das machen vor allem freilich die zumeist schlechten Bachaufführungen, die nicht annähernd einen Begriff davon geben, wie Bach am Clavicembalo in die Saiten greifend sich seine Sachen vormusiziert hat. Statt des wirklichen Bach geben sie uns ein armseliges Gerippe davon. Die Akkorde, welche die wundervolle, reiche Fülle des Körpers dazu bilden, lassen sie meistens einfach weg, als ob Bach den bezifferten Bass ohne Sinn und Zweck dazu geschrieben hätte. Aber der ist auszuführen, und welches Gebrause bilden dann die auf und nieder wogenden Akkorde! So mussten eure Violinsonaten, die unsinnigerweise ein Geigermännlein spielt, so auch alle Kantaten reproduziert werden, und ihr solltet staunen, wie das klänge!"

Mahler spielte uns die Bachsche Kantate vor: "Ich sündiger Mensch, wer wird mich erlösen?" Er nannte sie ein herrliches, vielleicht das herrlichste seiner Werke, das die weitesten Perspektiven eröffne. Im Zusammenhang damit sprach er von der ungeheuren Freiheit Bachs, die kaum je wieder musikalisch erreicht wurde und die auf dem unerhörten Können und Gebieten über alle Mittel beruhe. "In Bach sind alle Lebenskeime der Musik vereint wie in Gott die Welt. Eine grössere Polyphonie war nie da!"

³³ Actually, the third motet of the *Bachgesellschaft* edition is *Jesu, meine Freude*, yet it is a five-part motet. The eight-part motets in the first volume are *Singet dem Herrn* and *Der Geist hilft unsre Schwachheit auf*. Both La Grange and Mitchell think the motet to which Mahler referred must be *Singet dem Herrn*, since it was performed at the première of Mahler's Fifth in Vienna in 1905.

"It's unbelievable, the extent to which the eight voices are carried through in a polyphony which he alone commands. I'm gradually learning to follow them with the eye (they literally can't be played on the piano!). But some day I should like to, I *must* perform this work – to the amazement of the world!

It's beyond words, the way I am constantly learning more and more from Bach (really sitting at his feet like a child): for my natural way of working is Bach-like. If only I had time to do nothing but learn in this highest of all schools! Even I can't visualize how much it would mean. But may my latter days, when at last I belong to myself, be dedicated to him!"³⁴

8. 1904 **Mahler's letter to his wife Alma:**

"It is very seldom he [Brahms] can make anything whatever of his themes, beautiful as they often are. Only Beethoven and Wagner, after all, could do that. Look after yourself and Putzerln. And now for Bach (with two candles). I must clear the air a bit after Brahms. Eagerly looking forward to seeing you all."³⁵

9. 1904 In the summer of 1904, Alma invited Erica Conrat, a friend of Alma's

³⁴ *Ibid.*, 169-70. The original German can be found in *Gustav Mahler in Erinnerungen*, 189: Mahler sagte über die Bachschen Choräle, denen alte, allbekannte Kirchenlieder zugrunde liegen: "Auf die Neuheit der Themen kam es ihm dabei nicht an: in der Art der Behandlung allein, der Ausgestaltung und hundertfältigen Verwandlung, lag für ihn das Schwergewicht – wie auch die Griechen immer wieder denselben Gegenstand in ihren Tragödien und Komödien, nur in neuer, mannigfacher und differenzierter Gestaltung brachten."

Er war von dem Bachschen Genius, den er einen der grössten nannte, die es je gegeben, immer von neuem aufs höchste begeistert. "Und Unsinn ist alles, was man von seinen Vorgängern, die zu ihm hinführten und seine Wege vorbereiteten, schwatzt! Er steht so völlig einsam und unvermittelt da und ist als eine neue Welt vom Himmel gefallen wie eben jedes Genie. Das Wunder seiner Polyphonie ist unerhört, nicht nur für seine Zeit, sondern für *alle* Zeiten." Über die Dritte Mottete (grosse Bachausgabe) war er ganz ausser sich: "Unglaublich, wie gross die acht Singstimmen geführt sind in einer Polyphonie, über die nur er gebietet! Ich komme erst langsam darauf, sie mit dem Auge zu lesen (auf dem Klavier spielen lässt sich das gar nicht!) Aber aufführen möchte ich, *muss* ich es einmal – zum Staunen der Welt!

Unsagbar ist, was ich von Bach immer mehr und mehr lerne (freilich als Kind zu seinen Füßen sitzend): denn meine angeborene Art zu arbeiten ist Bachisch! Hätte ich nur Zeit, in diese höchste Schule mich ganz zu versenken! Von welcher Bedeutung das wäre, kann ich selbst nicht ausdenken. Ihm aber seien meine späteren Tage, wenn ich endlich mir selbst gehöre, geweiht!"

³⁵ Alma Mahler, *Mahler*, 239-40. The German text is in *Ein Glück ohne Ruh': Die Briefe Gustav Mahlers an Alma*, eds. Henry-Louis de La Grange and Günther Weiss (Berlin: Siedler Verlag, 1995), 203: Mit seinen oft schönen Themen weiss er in den selten Fällen etwas an zufangen. Das haben überhaupt nur Beethoven und Wagner gekonnt! Also, gehab' Dich und die Puzerln. So, jetzt es an Bach (bei 2 Kerzen) ich muss mich nach Brahms ein bischen auspusten. Schon in grosser Sehnsucht nach Euch Gustl.

family, to Maiernigg. Conrat described one evening on the terrace:

It was a fine night. I was sitting alone on the terrace.... At half past ten, G. M. joined me, and quoted the lines from the *Westöstlicher Divan*, "Das Lebendige will ich singen....,"³⁶ and then he spoke of Goethe's life, that it is really fragmentary, since he is a beginner, a beginner in a higher sense, a beginner in a sphere which we can never come to understand. And then he talked a lot about how it does not really matter whether "it's a rocket that soars up and then falls without a sound into the lake or the course of a sun lasting billions of years, we must strive just the same to create for beyond our own time and beyond ourselves, to become better – just the same."

He also spoke of miracle, the intoxicating wonder a musician feels when he hears his work for the first time: it would never have been possible for him to imagine it would be like this. Then Mahler went into the living room and played a lot of short pieces of Bach, so clear and simple that one could have believed oneself in ancient Greece.³⁷

10. 1905 Anton von Webern recorded in his diary his earliest meeting with

Mahler, which took place after a concert of Mahler's *Lieder* on 3

February 1905:

The discussion turned to counterpoint, since Schoenberg said that only the Germans knew how to handle counterpoint. Mahler pointed out the old French composers, Rameau, and so on, and admitted only Bach, Brahms and Wagner as the greatest contrapuntists among Germans. "Nature is for us the model in this realm. Just as in nature the entire universe has developed from the primeval cell, from plants, animals, and men beyond God, the Supreme Being, so also in music should a

³⁶ This is probably a parody of a line from "Selige Sehnsucht" in *Westöstlicher Divan*: "Das Lebendige will ich preisen."

³⁷ Alma Mahler, "Ein Leben mit Gustav Mahler," unpublished manuscript preserved in the Bibliothèque musicale Gustav Mahler in Paris. Given in La Grange, *Mahler*, Vol. 2, 718: Es war eine schöne Nacht, ich sass allein auf der Steinterrasse.... Um halb elf kam G. M. zu mir hinaus und sagte mir die Verse aus dem Westöstlichen Divan (Das Lebendige will ich singen, Das den flammentod sich wählt.... Ja, und wenn Du dies nicht hast. Dieses stirb und werde, bist Du nur ein trüber Gast Dieser dunklen Erde.) Und dann sprach er von dem Leben Goethes, dass es eigentlich fragmentarisch ist, denn er ist ein Anfänger, ein Anfänger in höherem Sinn, ein Anfänger in einer Sphäre, in die wir nie hineinwachsen werden. Und dann sprach er viel, wie gleich es eigentlich ist, ob eine Rakete aufsteigt und in den See lautlos verlöscht oder der Lauf einer Sonne in Milliarden von Jahren und doch müssen wir trachten, über unsere Zeit hinauszuschaffen und über uns selbst hinaus, besser zu werden – und doch!

Und dann erzählte er mir über das berauschende Wunder, wenn ein Musiker zum erstenmal sein Werke hört, – so ist es einem doch nie im Geiste vor – geschwebt und er ging ins Zimmer und spielte lange kleine Sachen von Bach, die so klar und einfach waren, dass man sich nach Griechenland träumen konnte.

larger structure develop from a single motif in which is contained the germ of everything that is yet to be." With Beethoven, he said, one almost always finds a new motif in the development. The entire development should, however, be carried out from a single motif; in that sense Beethoven was simply not to be considered a great contrapuntist. Variation is the most important factor in a musical work, he stated. A theme would have to be really especially beautiful, as some by Schubert are, in order to make its unaltered return refreshing. For him, Mozart's string quartets were over at the double bar (of the exposition). The task of contemporary creative musicians would be to combine the contrapuntal skill of Bach with the melodiousness of Haydn and Mozart.³⁸

11. 1909 Ernst Decsey, music critic of the *Graz Tagespost* and from 1908 its

editor. He visited Mahler at Toblach in June 1909 and begins his

memoir from that event:

Another time, he talked about the evolution of music. Someone had remarked that Delius was an artist who showed little respect for anything. He considered Bach, for example, outmoded. "He is quite right," Mahler retorted, "he is outmoded, but that doesn't mean he isn't great. Every age has its own idiom and a later age cannot naively appreciate the earlier one. It has to learn to appreciate it intellectually – but then it often makes the mistake of thinking that the Bach it appreciates is naïve! I should like to perform the two hundred cantatas, but the rest...? His arias are too long, and in general he lacks contrast, the way Haydn introduces it. Haydn invents two themes, so does Beethoven – no, with Beethoven it's two different worlds! Music is still very young. With Bach, polyphony reached its high point, then suddenly the thread broke. Folk-music forced its way in, Haydn and Beethoven

³⁸ Hans Moldenhauer, *Anton von Webern: A Chronicle of his life and Work* (London: Gollancz, 1978), 75-6. The German text is in Norman Lebrecht's *Gustav Mahler im Spiegel seiner Zeit – Porträtiert von Zeitgenossen* (Zürich: M & T Verlag, 1990), 170: Man kam auf Kontrapunkt zu sprechen, da Schönberg sagte, Kontrapunkt könnten nur die Deutschen. – Mahler weist auf die alten französischen Komponisten (Rameau usw.) hin und lässt als grosse Kontrapunktiker der Deutschen nur Bach, Brahms und Wagner gelten. "Muster in dieser Sache ist uns die Natur. Wie sich in ihr aus der Urzelle das ganze All entwickelt hat – über pflanzen, Thiere und Menschen bis zu Gott, dem höchsten Wesen –, so sollte sich in der Musik auch aus einem einzigen Motiv ein grösseres Tongebilde entwickeln, aus einem einzigen Motiv, in dem der Keim zu allem, was einst wird, enthalten ist." – Bei Beethoven finde man in der Durchführung fast regelmässig ein neues Motiv. Er sollte aber aus einem einzigen Motiv die ganze Durchführung bestreiten; in diesem Sinne sei eben Beethoven kein grosser Kontrapunktiker. Die Variation sei der wichtigste Faktor der musikalischen Arbeit. – Ein Thema müsse ganz besonders schön sein – etwa einige von Schubert –, um eine unveränderte Wiederkehr erspriesslich zu Ende. – Aufgabe der modernen schaffenden Tonkünstler sei es, die Kontrapunktik Bachs mit der Melodik Haydns und Mozarts zu verbinden."

opened the door; but looked at *cum grano salis* (with a grain of salt), they were not as great scientists as Bach. The ideal for the future would be composers who are as excellent in the science of Bach's polyphony as they are singers of folk-music."³⁹

12. 1909 Mahler's letter to Theodor Spiering on 15 August (?) about repertory of the historical concert:

The second evening is for the first historical concert – do please play Bach's violin concerto. A piano part (continuo) would, however, have to be arranged for it, for I find one does really violate Bach's and Handel's works if one does not include a continuo. Do you happen to know if such an arrangement exists?...⁴⁰

13. 1909 Musical Courier, October 27, 1909. Writing of his plan for the coming season:

"...I intend to let my public and the music critics of the press help me in picking out the musical way we should go.... It is the symphony concert which forms the basis of the musical development of the community and whatever standard that community reaches is the result of the education provided by symphonic music. I have already spoken, through the daily press, of the plan to give popular concerts for masses.... The general aim of our concerts of the coming season will be to educate and for that reason I have formed several series; four, to be exact.... The

³⁹ Ernst Decsey, "Stunden mit Mahler," in *Die Musik*, X/18 (1911, June: *Gustav Mahler-heft*), 354. Translated in Lebrecht, *Mahler Remembered*, 254-5: Ein andermal sprach er von der Entwicklung der Musik. Jemand hatte bemerkt, Delius sei ein Künstler, der wenig gelten lasse; Bach halte er z. B. für verstaubt. "Da hat er Recht," fuhr Mahler auf, "er ist verstaubt, aber das ändert an seiner Grösse nichts. Jede Zeit hat ihren Ausdruck, und eine spätere Zeit kann die frühere nicht naiv geniessen, sie muss die Bildung zu Hilfe nehmen, redet sich dann freilich oft ein, sie geniesse naiv Bach! Die 200 Kantaten möchte ich aufführen, aber alles andere...? Seine Arien sind zu lang, und überhaupt, es fehlt bei ihm noch das Gesetz des Gegensatzes, wie es Haydn einführt. Haydn erfindet zwei Themen, ebenso Beethoven, nein Beethoven – zwei Welten! Die Musik ist noch sehr jung. In Bach hat sich die Polyphonie zur Höhe entwickelt, dann riss der Faden plötzlich ab. Die Volksmusik drang ein, Haydn und Beethoven öffneten ihr die Tür; aber sie waren, cum grano salis betrachtet, nicht solche Könner wie Bach. Das Ideal der Zukunft wären Künstler, die die Bachsche Polyphonie ebenso 'könnten,' wie sie Volksmusik sängen."

⁴⁰ Mahler, *Selected Letters*, 342. The German text is in *Gustav Mahler: Briefe*, 391: Der zweite Abend ist das erste historische Konzert – ich bitte Sie, doch das Bachsche Violinkonzert zu spielen. Eine Klavierstimme (Continuo) müsste allerdings dazu ausgearbeitet werden, denn ich finde, dass man die Bachschen und Händelschen Werke ohne ausgeführte Continuo entschieden vergewaltigt.

Ist Ihnen vielleicht bekannt, ob eine solche Ausführung existiert?

Beethoven cycle will be for the education of the lovers of classical music, for the education of my orchestra and for the students. The historical cycle, in which I shall try in six evenings to give an outline of the development of orchestral music from Bach to the modern composer, chronologically, also should have its interest."⁴¹

14. 1910 Mahler's letter to Emil Hertzka, Hungarian-born Austrian music

publisher, asking for scores at New York on July 3:

Still I would like to waste no time, and would ask you, dear Director, in the meantime to send me immediately some cantatas by Bach, the *B Minor Mass*, also by him, the *Walpurgisnacht* by Mendelssohn, and a few things by Reger, in so far as they are published by [Universal] Edition....⁴²

3. Mahler's Performances of Bach

Mahler's documented performances of Bach's works are surprisingly few, perhaps reflecting the conservative tastes and management of nineteenth-century European concert halls. Mahler's earliest performance of Bach was given at Hamburg in 1894, and 18 performances were done in the United States. The chronological order of Mahler's performances of Bach is as follows, and the programs of the most important performances are included in **Appendix A**.⁴³

⁴¹ Zoltan Roman, *Gustav Mahler's American Years 1907-1911; A Documentary History* (New York: Pendragon Press, 1989), 285.

⁴² Hans Moldenhauer, "Unbekannte Briefe Gustav Mahlers und Emil Herzka," *Neue Zeitschrift für Musik* 135/ 9 (1974), 547-8: Doch möchte ich keine Zeit versäumen, und bitte Sie, lieber Direktor, mir einstweilen *gleich* einige Cantaten von Bach, die H-moll Messe, von demselben, die Walpurgisnacht v. Mendelssohn und ein paar Reger'sche Sachen, so weit sie in der Edition erschienen sind, zu senden.

⁴³ Mahler's First Symphony was performed on 20 November 1889 in Budapest. J. S. Bach's *Prelude, Chorale, and Fugue*, transcribed by Albert, was included on the program. Mahler conducted his own composition, but the Bach was conducted by Sándor Erkel (See Appendix A-1). All programs in Appendix A are excerpted from Knud Martner's *Gustav Mahler im Konzertsaal: Ein Dokumentation seiner Konzerttätigkeit 1870-1911* (Kopenhagen: KM-Privatdruck, 1985).

26 February 1894: Hamburg – Conventgarten⁴⁴:

IX. Abonnement-Concert: Gedenkfeier für Hans von Bülow
**Bach, Prelude for Organ and Chorale “Wenn ich einmal soll
 scheiden”**

Gedenkrede

Brahms, Two choruses from “Ein deutsches Requiem”⁴⁵

1. “Selig sind, die da Leid tragen”

2. “Denn alles Fleisch ist wie Gras”

Beethoven, Symphony No. 3

3 April 1896: Hamburg – Stadttheater : Karfreitags-Konzert

Mozart, *Requiem*

Krebs, *Vater Unser*

Handel, “O hör mein Flehen” from *Samson*

Mendelssohn, Trio “Hebe deine Augen” from *Elias*

Handel, “Ich weiss, dass mein Erlöser” from *Messiah*

Bach, Schluss-Chor from *St. Matthew Passion*

2 December 1900: Vienna – Musikvereinsaal

III. Abonnement-Concert

J. S. Bach, Concerto for Klavier in D minor with String Orchestra⁴⁶

Beethoven, *Leonore* overture No. 2

Franck, *Variations symphoniques*

Smetana, Introduction to the opera *Libussa*

Symphonic Poem *Vltava*

⁴⁴ About a month later, when Bülow’s body had been brought back to Hamburg, a funeral ceremony took place on 29 March 1894 in the Michaeliskirche. Mahler was present at the ceremony, which began with a chorale from Bach’s *St. Matthew Passion* and ended with a chorale from Bach’s *St. John Passion*.

⁴⁵ The first two choruses from Brahms’s *German Requiem* were conducted by Julius Spengel (See Appendix A-2, p. 208).

⁴⁶ The critic Max Kalbeck summarily dismissed Bach’s concerto as “an arrangement of a lost violin concerto” and said that he supposed the soloist “bore this cross in order to obtain forgiveness for his sins as a virtuoso as well as for those of other pianists.” Eduard Hanslick said “the work had been badly served by an overlarge string orchestra.” See La Grange, *Mahler*, Vol. 2, 315.

7 December 1905: Vienna – Musikvereins-saal

J. S. Bach, Motet *Singet dem Herrn ein neues Lied*

(conducted by Franz Schalk)

Mahler, Symphony No.5 (conducted Mahler)

10 November 1909: New York – Carnegie Hall

Historical Cycle, No. 1

Bach/Mahler, Suite for Orchestra, BWV 1067 and 1068

Handel, "Quanto dolci" from *Flavio*

Bach, Violin Concerto in E major

Rameau, Rigaudon from *Dardanus*

Grétry, "C'est ici beau Céphale" from *Céphale et Progis*

Haydn, Symphony No. 104

Review: 1909 New York Daily Tribune, 11 November 1909:

At Carnegie Hall last night the first of a series of historical concerts... took place under the direction of Mr. Mahler.... There are to be six of these historical concerts, and their programs have been planned to cover the field of music from the period of Bach down to today.... The first of the Bach pieces was a compages of movements from two of his suites.... Mr. Mahler took the Overture, Rondeau and Badinerie from the Suite in B minor and consorted with them the well-known Air and Gavotte from the first of two Suites in D [major]. To complete the old master's representation Mr. Theodore Spiering, the new concert master of the Philharmonic Orchestra, played the violin concerto in E major.... Not only the music but also the manner of performance was in keeping with the period chosen for representation. Mr. Mahler conducted all the music except the Haydn Symphony in D seated at the clavier, which took the place of the harpsichord, and [he] played the figured bass part...on it.... It was not a harpsichord but a Steinway pianoforte with hammer action modified to produce a twanging tone resembling that of the harpsichord but of greater volume.... The effect is obtained by using small hammers of wood and iron. The effect was not favorably received by the musicians in last night's audience, but was probably as near that heard in Bach's day as could be obtained, considering the vast difference in conditions.... Being occupied with the accompaniment, Mr. Mahler had to do without the precision which he would have obtained had he given all his attention to directing the band....⁴⁷

⁴⁷ Roman, *American Years*, 295.

1909 **The [New York] Sun, 11 November 1909:**

It was perhaps for the sake of contrast that Mr. Mahler did not give the whole of any one of Bach's four suites for orchestra.... But sticklers for accuracy might complain that in a historical concert the works should be performed as they were and not rearranged for the sake of effect.... Mr. Mahler's dissertation on the clavier was interesting because of its remarkable vigour and he exhibited great dexterity in laying down and picking up the baton.⁴⁸

Comments:

1909 **Alma Mahler described the historical concert:**

Mahler took four particularly lovely pieces from the Bach suites and strung them together for one of his concert programs.⁴⁹ He worked out the figured bass and played it marvelously on the harpsichord, with his baton clipped tightly under his arm. Schirmer, the publisher, made an offer to him for his arrangement of Bach's music and Mahler took the keenest pleasure in working on it. He played it at many of the concerts, more for us than for the audience. He altered his continuo realization according to his fancy every time and cross-examined me afterwards about the effect of each. It was hardly likely that any change would be lost on me. The critics over there did not raise the cry of sacrilege. This was reserved for the pundits of Europe.⁵⁰

1909 **Mahler's letter of 19 November to Paul Hammerschlag, President of the Society of Austrian Banks and Bankers, describing his feelings about the historical concert:**

⁴⁸ *Ibid.*, 296.

⁴⁹ The rearranged suite actually consists of five pieces from two of Bach's Suites. Alma was probably confused by the four-movement structure of the suite.

⁵⁰ Alma Mahler, *Mahler*, 154-55. The German text is in Alma Mahler's *Erinnerungen an Gustav Mahler*, 184: Für eines dieser Konzerte hatte Mahler aus Suiten von Bach vier besonders schöne Stücke ausgewählt und miteinander verbunden. Den bezifferten Bass arbeitete er aus, spielte ihn wunderbar am Cembalo mit, während er den Takstock fest unter den Arm eingeklemmt hielt. Der Verleger Schirmer bot ihm den Druck an, und Mahler hatte die grösste Freude an der Arbeit und Ausgestaltung dieses Werkes. Diese Bach-Suite hat er in vielen Konzerten gespielt, eigentlich mehr für uns als für andere. Jedesmal veränderte er frei seine Cembalogestaltung und examinierte mich nachher genau über jede Wendung. Es dürfte kaum vorgekommen sein, dass mir etwas entgangen ist. Die Kritik dort behandelte es nicht als Sakrileg, das war später den europäischen Bonzen vorbehalten.

I am quite content with my position here. We have had many a concert that I would dearly have liked you to hear. I had great fun recently with a Bach concerto, for which I transposed the basso continuo for organ, conducting and improvising – quite in the style of the old masters – from a very rich-toned spinet specially adapted by Steinway for the purpose. – This produced a number of surprises for me (and also for the audience). – It was as though a flood-light had been turned on to this long-buried literature. The result was intenser (also in terms of tone-color) than any modern works....⁵¹

25 November 1909: New York – Carnegie Hall

Subscription Series, No. 2

Brahms, Symphony No. 3

Bach/Mahler, Suite for Orchestra

Weber, Konzertstück Op. 79

Dukas, *L'apprenti sorcier*

8 January 1910: Brooklyn – Academy of Music

Bach/Mahler, Suite for Orchestra

Beethoven, Klavierkonzert No. 5, Eb major

Wagner, Prelude and "Liebestod" from *Tristan*

Strauss, *Till Eulenspiegel*

23 February 1910: New Haven – Woolsey Hall

Berlioz, *Symphonie fantastique*

Bach/Mahler, Suite for Orchestra

Grieg, Klavierkonzert Op. 16

Strauss, *Till Eulenspiegel*

24 February 1910: Springfield – The Court Square Theatre

Berlioz, *Symphonie fantastique*

Bach/Mahler, Suite for Orchestra

Handel, "Quanto dolci" from *Flavio*

⁵¹ Mahler, *Selected Letters*, 345. The original German is taken from *Gustav Mahler: Briefe*, 395: Ich wünschte Sie zu manchem Konzert her. Besonderen Spass hatte ich neulich an einem Bach-Konzert, wofür ich das Basso Continuo für Orgel gesetzt, und an einem von Steinway hierzu präparierten Spinett von sehr grossem Klange dirigierte ich und improvisierte – ganz nach Art der Alten. – Da sind für mich (und auch für die Hörer) ganz überraschende Dinge dabei herausgekommen. – Wie mit einem Schlaglicht war diese verschüttete Literatur beleuchtet. Es wirkte stärker (auch koloristisch) als jedes moderne Werk.

Mozart, "Voi che sapete" from *The Marriage of Figaro*

Strauss, *Till Eulenspiegel*

Wagner, Prelude to *Die Meistersinger*

26 February 1910: Boston – Symphony Hall

Berlioz, *Symphonie fantastique*

Bach/Mahler, Suite for Orchestra

Beethoven, *Leonore Overture No. 3*

Strauss, *Till Eulenspiegel*

28 April 1910: Rome – Augusteo

Bach/Mahler, Suite for Orchestra

Strauss, *Till Eulenspiegel*

Wagner, *Siegfried Idyll*

Overture to *Tannhäuser*

1 November 1910: New York – Carnegie Hall

4 November: New York – Carnegie Hall

6 November: Brooklyn – Academy of Music

Bach/Mahler, Suite for Orchestra

Schubert, Symphony No. 9

Mozart, Ballet music from *Idomeneo*

Deutscher Tanz

Strauss, *Also sprach Zarathustra*

5 December 1910: Pittsburgh – Soldiers' Memorial Hall

6 December: Cleveland – Grays Armory

Review: Cleveland Plain Dealer, 7 December 1910:

Little Mahler with the big brain.... His strength, his mastery over his instrument, was obvious from the first beat of the first measure of the Bach suite. There was no getting ready, no working up, no preliminary warming process before the orchestra found itself, as is so often the case.... And how that suite did dance along! For Bach was not only the Wagner and Puccini and Richard Strauss of his time. He was the Sousa as well, a fact not always appreciated. He had the merry rhythmic swing, the gay melody. And Mahler got them in his mind, and just poured them out of that orchestra in a torrent.

7 December: Buffalo – Convention Hall
 8 December: Rochester – Convention Hall
 9 December: Syracuse – Wieting Opera House
 10 December: Utica – The Majestic Theatre

Bach/Mahler, Suite for Orchestra
 Beethoven, Symphony No. 6
 Wagner, Prelude and “Liebestod” from *Tristan*
 Wagner, *Siegfried Idyll*
 Overture to *Meistersinger*

15 February 1911: New Haven – Woolsey Hall
 16 February: Hartford – Parsons Theatre

Bach/Mahler, Suite for Orchestra
 Beethoven, Symphony No. 6
 Weber/Weingartner, *Aufforderung zum Tanz*
 Liszt, *Les Préludes*

4. Mahler’s Annotations in the Score of Bach’s Cantata No. 19, “Es erhub sich ein Streit”

Mahler’s annotations to Bach’s cantatas are found in nos. 19, 65, and 78. From the collection of printed scores used by Mahler, Alma Mahler presented two volumes of vocal scores of Bach’s cantatas in the Peters Edition to the University of Southampton in 1973.⁵² According to Mitchell, the three cantatas in two volumes are heavily marked by Mahler in blue pencil.⁵³ Mitchell has generally described Mahler’s markings in the three cantatas; the

⁵² Both Mitchell and La Grange write that scores of the three cantatas are located at the University of Southampton, but as far as I have been able to determine, they have only that of Cantata no. 19. See Mitchell, *Mahler, Vol. II*, 377, and La Grange, *Mahler, Vol. 2*, 728.

⁵³ Mitchell provides a reproduction of the closing chorale from Cantata no. 78, which begins with the marking *ppppp*. See Mitchell, *Mahler, Vol. II*, 378.

markings on Cantata no. 19 include dynamics, some cuts, and indications as to how the accompaniment is to be distributed between organ and piano.⁵⁴ The lists below contain Mahler's detailed markings:

p. 3, in the opening of the **Chorus**: "*Zunächst ohne Orgel*
Siehe dann Seite 10"

p. 6, m. 28: "*bei der Wiederholung*
hier anfangend mf nur Harmonie
*spielen! dann*⁵⁵

m. 31: *nach und nach anwach-*

p. 7, m. 34: *send*"

mm. 35-6: *leis[e] Laun[ig] (?)*

m. 37: *f*

mm. 38-9: crescendo marking

mm. 40-1: crescendo marking

p. 10, m. 62, on the top of the page: "*Orgel ff mit dem Chor*"

m. 67, *mf* "*Harmonie!*"

p. 12, parenthesis in the keyboard part from the second beat of m. 82 to the first beat of m. 89

mm. 89-90, in the soprano part: "*Orgel mit dem Chor!*"

at the second beat of m. 90 in the keyboard part: open parenthesis and
"*weg*"⁵⁶

at the bottom of the page: "*Bei der Wiederholung: Siehe Seite 6*"

p. 13, **Recitativ**, at the top of the page: "*Klavier*"

pp. 14-8, **Arie**: diagonal lines throughout the pages to indicate cutting the

⁵⁴ I obtained the microfilm of the vocal score of Cantata no. 19 from the library of the University of Southampton.

⁵⁵ Mitchell noted that Mahler wrote "nur Harmonie spielen!" when doubling of the chorus at the keyboard is to be omitted. See Mitchell, *Mahler, Vol. II*, 377.

⁵⁶ It could be shorthand for "[orgel] weggehen," which means "no more organ."

movement

p. 18, **Recitativ**, at the top: "*Orgel*"

p. 19, **Arie**: "*Organo tacer*" (organ not performed for a whole movement)

p. 26, **Recitativ**: "*Klavier*"

Choral: "*Orgel*"

m. 1: *f* in the keyboard part

p. 27, m. 10: *pp*!

m. 16: "*Rollschweller auf!*"⁵⁷

m. 17: under the G major chord: *

mm. 17-8: crescendo marking, *f*

mm. 23-6: crescendo marking

All these markings suggest that these conductor's scores were not performed with orchestra, but with keyboard accompaniment, and that Mahler was particularly interested in alternation of organ and klavier, as we shall see in his rearrangement of Bach's Suites.

5. Mahler's Annotations in his *Bachgesellschaft* Volumes

(1) Introductory Remarks

The earliest *Bachgesellschaft* was published in Leipzig, begun in 1851 and completed in 1900 with 46 volumes. It is certain that the *Bachgesellschaft* that Mahler had purchased around 1901 was sold in May 1992 at the Sotheby's auction in London for £24,000 to Dr. Ralph Kohn, who collects rare scores of J. S.

⁵⁷ It seems that Mahler means to create a very striking or effective crescendo.

Bach. This set contains extensive annotations and re-orchestrations in Mahler's hand and also includes five autograph pages on additional leaves.⁵⁸ The copy lacks vol. 45/3 and vol. 47, the latter of which was published after Mahler's death. The volumes are large folios with original boards, but two have defective spines and one is without spine : the volumes containing Bach's orchestral suites were presumably worn out by Mahler's frequent use and annotations.

Overall, Mahler's annotations are found especially in four volumes (v/2, ix, xxv/1, and xxxi/1). The annotations in the printed scores are written in red, blue, and brown colored pencil and in plain pencil. Extensive annotations are found in the following: Vol. xxxi/1, *Orchesterwerke* on pp. 24-33 in the Overture and the Rondeau of the 2nd Suite (BWV 1067), on pp. 38-9 in the Badinerie of the same Suite, on pp. 41, 44-5, and 47-9 in the Overture of the 3rd Suite (BWV 1068), and on 54-9 in the Air and the Gavotte I and II of the latter Suite; Vol. v/2, *Weihnachts-Oratorium* on pp. 51-8 in the second Sinfonia of the *Christmas Oratorio*; Vol. ix, *Kammermusik* on p. 102 in the 2nd movement and on pp. 115-6, and 118 in the 4th movement of the E major Violin Sonata; Vol. xxv/1, on p. 31, "Contrapunctus VIII" of *Die Kunst der Fuge*.

(2) Description of the Christmas Oratorio,

E-Major Violin Sonata, and *The Art of Fugue*

The annotations found in the *Christmas Oratorio* (Vol. v/2), and the Violin Sonata (Vol. ix) include dynamic markings for performance. In the *Kunst*

⁵⁸ Through Sotherby's, I was able to get in touch with Dr. Kohn in London. He is the president of a pharmaceutical company in London and an amateur baritone. Thanks to him I was able to take pictures of all the scores containing Mahler's annotations and autograph pages in July 2000.

der Fuge volume (xxv/1) Mahler only underlined the title “Contrapunctus VIII.”⁵⁹

a. Christmas Oratorio

p. 51: mm. 1-7

on the top of the page: “*And there were shepherds in the same country*”

m. 1: *p* “*dolce*”

m. 2: signs of crescendo and decrescendo markings

above violin I, “*friedvoll*”(peacefully); “*espr[essivo]*” over the last beat

above last beat of flute (flauto traverso), “*espr*”

m. 3: above violin I, “*lieblich*” (delightfully)

m. 4: decrescendo, on the last beat *pp* in violin I and viola; crescendo in violin I and viola

m. 5: decrescendo on the first beat in violin I, viola and “*espre*” in the cello;

“*cresc[endo]*” above violin I, on the third beat of the viola, and on the

last beat of the cello; crescendo on the second beat and decrescendo in

the third beat in violin II; crescendo on the last beat of violin I and viola;

“*espr*” above on the last two beats of violin I

mm. 5-6: “*sanfter*” (more gently)

m. 6: decrescendo on the first beat in violin I and viola; “*espre*” on the second beat of violin II

mm. 6-7: crescendo from the third beat of m. 6 to the second beat of m. 7

in the flutes and strings, then *f* and *mf*, respectively; crescendo on the

first and second beat of m. 7, then *mf* in the cello; accent markings on

⁵⁹ The annotated chorus of *The Christmas Oratorio* in Mahler’s *Bachgesellschaft* is reproduced in Appendix B-1; E-major violin sonata in Appendix B-2; and *The Art of Fugue* in Appendix B-3.

the third beat in the viola and cello

p. 52: mm. 8-15

m. 8: *mp*, “*espr*”, and decrescendo markings; in the last two beats, above violin I, “*fernhilfe*” (?)

m. 9: *pp*; crescendo in the cello

mm. 9-10: above oboe d’amore, “*kippe*” (pass out) under that, “*meno mosso*”

m. 11: *pp* in the flute and strings ; *p* on the third beat in the oboe d’amore, *mf* in oboe da caccia I, and *pp* in oboe da caccia II

m. 12: decrescendo on the third beat in the oboe da caccia I

m. 13: “*cresc*” in the flute; *p* “*espr*” and crescendo in the strings; *mf* on the third beat in the oboes d’amour and above oboe I, “*gesch _____*” (?)

mm. 14-5: “*espr*” in flute I and violin I; *mf* in flute II and violin II

p. 53: mm. 16-23

m. 16: “*milde*” and decrescendo to *p* in flute II and strings

mm. 16-7: “*espr*” and decrescendo in oboes

mm. 17-8: *p*, crescendo, and decrescendo in strings and flutes; *p* in oboes

mm. 18-9: “*immer _____*” (?) under oboe d’amour III and “→ *wie anfang*” (like the beginning) on the right margin; *p* in violin II *p* in flute I; *p* in the dotted theme of violin I

m. 20: “*_____ espr*” (?) and decrescendo in the strings

m. 21: crescendo in all instruments

m. 22: *f* and decrescendo in flutes; *p* in oboes; crescendo, *f*, decrescendo

in strings; ritardando with wiggly lines under oboe da caccia III
and continuo⁶⁰

mm. 22-3: ritardando and “*bewegt*” (quickly) with *p* on the dotted figure
that follows; *p* on the first beat in flute II and on third beat in flute I
and violin I

p. 54: mm. 24-31

m. 25: “*cresc*” in all instruments

mm. 26-7: crescendo, *mf*, decrescendo in all instruments

m. 28: *f* in oboes and violin I; *p* in violin II, viola, and cello; “*froh*”
(joyfully) over oboes

m. 29: *mf* in all instruments; “*selig*”(overjoyed) in the dotted theme in
violin II

m. 30: “*vor*_____ *arbey*” (?)

mm. 30-1: “*schw*_____” (?)

m. 31: *p* “*espr*” in the strings; “*lieblich*” (?) above violin I

p. 55: mm. 32-39

m. 33: *mf* “*espr*” in oboes; *p* in the viola and cello

mm. 34-5: *p* “*espr*” in flutes; *mp* “*espr*” in violins; *mf* “*espr*” in oboes

mm. 36-7: “*lieblich*” before violin I; crescendo decrescendo to *pp* in
oboes; *p* in m. 37 in flutes and the strings

mm. 38-9: “*espr*” crescendo in all instruments; “*espr. molta*” in violin I

p. 56: mm. 40-7

mm. 40-1: “*espr molta*” decrescendo to *p* or *pp* in all instruments

⁶⁰ Mahler frequently uses a wiggly line for indicating ritardando.

m. 41: "*solistisch*" in the dotted theme of flutes and violin I; "ge _____"
(?) in violin II

mm. 41-2: crescendo and decrescendo to *p* and "*rit.*" with "*espr*"

m. 43: *p* or *pp* in oboes and decrescendo with "*rit.*" in flutes, strings

m. 44: *p* "*dolce*" in all instruments; "*Orgel*"

m. 46: "*espr*" in violin I

m. 47: ritardando with a wiggly line

p. 57: mm. 48-55

m. 49: *pp*

m. 50: *p* or *mp* in oboes

mm. 51-2: "*cresc*" on the third beat of m. 51 to *mf* in flutes and strings

m. 53: *mf* "*espr*"

m. 54: "*sanft steigern*" (gently intensify)

mm. 54-5: "*cresc*" from the third beat of m. 54 to *f*; above last beat on
page, violin I, "*froh*"

p. 58: mm. 56-63

mm. 56-7: decrescendo with "*immer ruhiger*" (steadily calmer) to *p*

m. 58: *pp* in all instruments; "*lieblich*" in violin I

m. 59: "*espr. molta*" in flutes and violins

m. 60: *mf* in all instruments and "*dim.*"

m. 61: "*anmutig*" (gracefully) in oboe da caccia and ritardando; *pp*
ritardando in flutes

m. 62: *ppp* in all instruments; closed bracket in oboes; open and closed
bracket in flute II

b. E-Major Violin Sonata

The Second Movement:

p. 102, m. 9: *mf* in the violin; *p* in the piano

The Fourth Movement:

p. 115, on the first stave: *mf* and decrescendo in the violin

p. 116, on the first stave: “*cresc*”

on the third and fourth staves: *p* “*subito*”

p. 118, on the first stave: *p*

on the second stave: “*cresc*”

on the third stave: *f*

c. *The Art of Fugue*

“Contrapuntus 8,” p. 31: title underlined with bracket in blue pencil

(3) Mahler’s Annotations to

The Orchestral Suites, BWV 1067 and 1068

For his rearrangement of the Suites, Mahler preserved the general text of Bach’s score, limiting his changes to the addition of dynamic markings, slurs, tempo gradations and division markings.⁶¹ He also added or inserted notes in the Overture, with numerous alterations and deletions, which were made for the realization of duo continuo part for an organ and a klavier, a special piano made by Steinway for the performance.⁶² In addition, five pages (on sixteen staves per

⁶¹ Mahler’s rearrangement of Bach’s Suites in the Schirmer Edition is analyzed in great detail in Bryce Selig, “Gustav Mahler – Conductor as Interpreter: A Comprehensive Study of The Bach-Mahler *Suite for Orchestra*,” unpublished DMA thesis, University of South Carolina, 2001. See especially Chapter 5: “Mahler’s *Retuschen* to the Bach Suites.”

⁶² The special piano was described in the review of the first performance of the Bach-Mahler

page) of Mahler's manuscript consist of the realization of the continuo part in the Gavotte for klavier.

In this duo continuo realization Mahler shortened the value of detached notes and slurred periodically to ensure clear articulation. He alternatively marked "*clavi*" or "*orgel*" to embellish Bach's music with the addition of written-out continuo parts. For the instrumental color, he reinforced the *tutti* passages with the flute playing an octave higher than written. In the 3rd movement, the Air, the 1st violin part playing the celebrated melody was indicated as "*violin solo*."

The following list of all annotations is divided into six categories: division markings; performance indications for instruments; dynamics and expression markings; alteration of rhythmic figures; addition of notes; and specific comments on the autograph pages for continuo of the Gavotte.⁶³

a. Division markings

Division markings include the indication of movements such as I, II, III, IV; rehearsal numbers, either at the top of the staves or at the bottom, 1, 2, 3; and alphabetical markings, A, B, C, etc.

(1) Roman numerals indicating newly arranged movements from two suites with red pencil:

- I : Overture of BWV 1067 in B minor
- II: Rondeau and Badinerie of BWV 1067
- III: Air of BWV 1068 in D major

Suite. See the review above: *The New York Daily Tribune* on November 11, 1909 (p. 22).

⁶³ The Orchestral Suite is reproduced in Appendix C.

IV: Gavotte I and II of BWV 1068

(2) Rehearsal number marked with blue color pencil⁶⁴

I – Overture: mm 1-5

- ①: mm. 6-14
- ②: mm. 15-29
- ③: mm. 30-43
- ④: mm. 44-63
- ⑤: mm. 64-78*
- ⑥: mm. 79-102*
- ⑦: mm. 103-111
- ⑧: mm. 112-118
- ⑨: mm. 119-127
- ⑩: mm. 128-143
- ⑪: mm. 144-151
- ⑫: mm. 152-174
- ⑬: mm. 175-188
- ⑭: mm. 189-203
- ⑮: mm. 204-209
- ⑯: mm. 210-215

II – Rondeau: mm. 1-11

- ⑰: mm. 12-20
- ⑱: mm. 21-36
- ⑲: mm. 37-44
- ⑳: mm. 45-52

Badinerie: mm 1-8

- ㉑: mm. 9-24
- ㉒: mm. 25-40

III – absence of rehearsal number⁶⁵

⁶⁴ The rehearsal numbers are usually marked at the top of the stave, with a few exceptions in which they are marked at the bottom. Here, the exceptions are marked by an asterisk.

⁶⁵ The Overture of the Suite BWV 1068 also has rehearsal numbers ① and ②. See Appendix C-4, pp. 240-1.

IV - Gavotte I: mm. 1-17

①: mm. 18-26

beginning of Gavotte II: mm. 1-8

②: mm. 9-23

③: mm. 24-32

Nro 4. Gavotte (newly composed continuo part in D major in autograph pages)

(3) Alphabetical division⁶⁶

A : I – mm. 11-54 (at the beginning of the second statement of the main theme)

B : I - mm. 55-93 (at the first occurrence of the solo flute theme)

C : I – mm. 94-136 (at the second occurrence of the solo flute theme)

D : I – mm. 137-160 (at the *tutti* theme)

E (?): I – m. 161 (The letter is blurred and the point of division, unlike the preceding ones, is in the middle of the phrase)

F : II – m. 27

F appears again in III – m.11

b. Performance indications of instruments

(1) Indication of alternation in the Continuo instruments in the Ouverture⁶⁷

m. 44: started from the last beat of m. 43 with *f*, “*Clavi*” in blue pencil
above the indication of rehearsal number ④. Closed bracket in m. 55
above the staves

m. 64: indication of “*Orgel*” at rehearsal number ⑤ with open and closed

⁶⁶ The sections marked off by alphabetical indications are larger than those marked by numerical indications. The alphabetic indications do not appear in the Schirmer edition.

⁶⁷ In the Schirmer edition, Mahler treats the harpsichord not as a steadily chordal instrument, in a Baroque way, but rather as a solo instrument which emerges here and there to add special orchestral color as well. This represents a distinct 19th-century practice. See Julia Bess Hubbert, “Mahler and Schoenberg: Levels of Influence,” unpublished Ph. D. dissertation, Yale University, 1996, 350.

brackets in mm. 63-9

m. 79: “*Orgel*” at rehearsal number ⑥ with open and closed brackets in mm. 79-82. Open bracket in the last beat of m. 86

m. 91: “*Clavier*” with bracket { } in all staves in mm. 91-4

m. 103: “*Clavier*” at rehearsal number ⑦ only with open bracket

m. 137: “*Orgel*” with open and closed brackets in mm. 137-9

m. 144: “*Orgel*” at rehearsal number ⑧ in mm. 144-51

m. 157: “*Orgel*” with open and closed brackets in mm. 157-63

m. 198: “*Orgel*” at m. 198 only with open bracket

(2) Indication of “*Violin Solo*” was added at the beginning of the Air with a pencil.

(3) Alternations of *pizzicato* and *arco* were added in the strings with staccato throughout the Badinerie in red pencil.

(4) Raising an octave⁶⁸

mm. 15-7 in violin II of the Ouverture with a pencil

mm. 173-74 in violin II and mm. 175-8 in the flute of the Ouverture with a pencil

c. Dynamics and expression markings

Dynamic and tempo instructions are found throughout all movements.

(1) Frequent indications of *p*, *f*, *pp*, *fp*, and crescendo and diminuendo markings, mostly with red and blue pencils

(2) Rapid alternations of *f* and *p*:

⁶⁸ In addition to this, for a thicker sound Mahler indicated in a footnote of the Schirmer edition (p. 1) that the flute solos be played “forte with additional flutes, reinforced by a clarinet if needed.”

mm. 64-70, 179-83 in the Ouverture over the course of a measure
 mm. 1-8, 21-9, 45-52 in the Rondeau over the course of two measures
 mm. 1-7, 17-22 in the Badinerie over the course of two measures
 mm. 1-6, 19-26 in the Gavotte I over the course of two measures
 mm. 1-8 in the Gavotte II over the course of two measures

(3) Adding of “*sempre f*” and “*espres*”

“*sempre f*” at m. 83 in the continuo and at m. 179 in violin I in the
 Ouverture

“*espres*” from m. 208 to the end of the Ouverture and from m. 13 to the
 end of the Air

(4) Adding performance indications for accents at each beginning of the Rondeau

theme: mm. 1, 12-3, 20-1, 45-6 in the Rondeau

d. Alteration of rhythmic figures

Changing rhythmic figures was mostly intended for intensifying the
 rhythmic figure and for clear articulation through the addition of rests.

(1) Adding slurs:

to the 32nd note figures at the first beat of the measure in the first part of
 the Ouverture at mm. 1, 2, 4, 6, 8, and 11

to the 8th note figure with the trill in the Badinerie at mm. 8, 10, 30, and

32

**(2) Intensifying syncopated rhythmic figures by shortening the value of the notes
 and adding slurs and rests in every statement of the ritornello theme in the
 Ouverture at mm. 20, 44, 79, 103, 144, 175, and 199.**

e. Adding notes

Mahler's additions or insertions of notes are mostly made with a blue pencil for the purpose of writing out the realizations of continuo instruments. The alternative indications of "*Clavier*" and "*Orgel*" mentioned above are actually the sign of the application of two continuo instruments in this rearrangement. On one hand, the organ part is fairly consistent with Baroque continuo practice with few exceptions of strengthening *tutti* passages or cadential points. On the other hand, the klavier part, as the second continuo instrument, has a somewhat independent role as the counterpoint to the theme. Most of Mahler's insertions of notes are evident in the klavier part when it is compared to the published version. Here, few exceptions are annotated. Additions of notes for the continuo are classified as follows: (1) Enriching the melodic line (2) Adding notes in a vertical arrangement; (3) New counterpoint; (4) Filling-in a pedal point.

(1) Enriching the melodic line

mm. 9-10 in the violin parts – adding scalar embellishment with 16th notes with a pencil⁶⁹

mm. 64-70 – making two-measure sequences along with the descending melody in the viola

mm. 74-9; mm. 103-6⁷⁰; mm. 169-72 – making two-measure sequences and continuation around the second violin

mm. 121-24 – embellishing in a higher register than the first violin

⁶⁹ This is not realized in the published version. In the Schirmer edition it appears in more embellished figures with the dotted and 64th notes in the klavier.

⁷⁰ Realized with slight melodic and rhythmic modification.

mm. 173-74 – embellishing in a lower register than the second violin

(2) Adding notes in vertical arrangement

m. 3 in the second violin – making chords with a pencil⁷¹

mm. 141-42 in the first violin – writing out parallel 3rds or 6ths⁷²

mm. 153-62 – insertion of new chords

mm. 164-68 – insertion of new chords

(3) New counterpoint to other parts

mm. 120-23 – imitation of the preceding figure of mm. 118-9 in the first violin

mm. 128-33 – inversion of the preceding figure of mm. 118-9

m. 199 – imitating the main theme in the violin

(4) Filling-in pedal point

mm. 60-3

mm. 125-26

mm. 134-37

f. Autograph pages for the continuo part in the Gavotte

New composition of the continuo part for the klavier was written in Mahler's own hand. It is alternately written with a fine black pen and a thick one. The skeleton of the score is sketched in clear three-part counterpoint between the trumpet, oboe (violin I), and continuo, and the klavier in two-part counterpoint.

⁷¹ Realized with the dotted rhythm figure in the klavier doubling the viola part.

⁷² It is realized in the organ part.

Diagram 1: Form of the Gavotte in autograph pages

Gavotte I	A	1-10	reduction in three-part counterpoint
		11-20	Klavier
	A'	21-36	reduction in three-part counterpoint
		37-52	Klavier
Gavotte II	B	53-68	reduction in three-part counterpoint
		69-84	Klavier
	B'	85-100	reduction in three-part counterpoint
		101-16	Klavier
Gavotte I	A	117-26	Klavier
	A'	127-42	Klavier

The opening ten-measure sentence form, which is simply repeated in Bach's Suite, is changed and enriched in its color by adding the klavier sonority. Since the klavier sounds like a solo instrument, the texture of the second statement of the opening sentence becomes denser. In the first klavier section (mm. 11-20) the new motive of the rocking figure appears.⁷³ In part A' the sequence of the oboe part is bracketed. Both the rocking figure and the sequential process variously develop in the klavier part.

The first part of the Gavotte II, B, was at some point crossed out and rewritten. Since the three-part counterpoint with trumpet, oboe, and continuo is changed to that with oboe (violin I), violin II, and viola from m. 59, it seems, because of spacing, Mahler avoided inserting the lines of violin II and viola; and thus the three-part counterpoint is clearly seen. The klavier enters with a chordal progression in contrary motion with a dynamic level of *ff*, and then in parallel

⁷³ The rocking-motive is related to the modified figure of the Rondeau motive inserted by Mahler in the klavier part of the Rondeau (See Chapter II, p. 70, Example 11).

motion followed by the modified rocking-figure motive. In the third chordal progression of the klavier at m. 79 occurs superimposing the rocking-motive in the lower register. Two brackets (one is only a closing bracket at m. 76; the other is at mm. 76-8) appear again in the sequence. In part B' the three-line reduction of the orchestra is further reduced from m. 92 in one line and marked "To" for the trumpet and "vl" for the violin. In the second klavier section the rocking-motive occurs in inversion, and the preceding dotted rhythm in the trumpet is imitated. The recurrence of Gavotte I without repetition is written with the klavier part, enriched by octave doubling.

6. Summary

My examination of the literature and documentary evidence shows several crucial points in the relationship of Mahler and Bach: Mahler was deeply engaged in Bach's *Well-tempered Clavier* and vocal music during his Conservatory and Hamburg years. Around 1901, when he possessed the complete *Bachgesellschaft*, his interests in Bach reached their culmination. Most of the scholars mentioned above noted changes in Mahler's musical languages in his middle period. They believe this reflects the influence of Bach's polyphonic, even fugal texture as seen in the middle-period symphonies. They especially cite the Scherzo and Rondo-finale of the Fifth and the first movement of the Eighth.

Mahler's study of Bach was detailed and geared to performance, as evidenced by his work on the *Christmas Oratorio*, the E-major Violin Sonata, Cantatas, and, above all, the Orchestral Suites. However, most of Mahler's work never was heard in a concert hall – his arrangement of the Orchestral Suite being

the obvious exception.

Mahler's arrangement of the *Orchestral Suite* can be regarded as the main document showing his relation to Bach. His inclusion of a dual continuo of organ and klavier and the compositional conception of the piece – the conflation of two of Bach's works into one composition – creates a unique twentieth-century work. The next chapter will consider the piece in musical and aesthetic detail.

CHAPTER TWO:

Mahler's Rewriting of Bach's Orchestral Suite – Goethe's Aesthetics and the Polarity of Form

1. The History of Suites

In 1909 Gustav Mahler planned a series of six historical concerts for the New York Philharmonic Society with the aim of educating the American public in the history of European orchestral music.¹ The first of these concerts was given at Carnegie Hall, New York, on 10 November 1909. Mahler performed his arrangement of two of Bach's Orchestral Suites by conducting from a specially modified Steinway piano on which he played one of the continuo parts. As documented in the previous chapter, Alma Mahler remembers: "He worked out the figured bass and played it marvelously . . . with his baton clipped tightly under his arm." (See Chapter 1, p. 23.)

Even though the critics did not favorably review Mahler's approach to or performance of Bach's music, Mahler himself was quite pleased, according to his letter to Paul Hammerschlag a week or so after the concert. (See Chapter 1, p. 24.)

Though Mahler termed his concert series an "historical" event, his version of the two Orchestral Suites was not strictly a work of Bach. Instead,

¹ Mahler's understanding of early music history was probably influenced by Guido Adler, who was searching for collecting the forgotten music of the Renaissance and Baroque for publication in a series called *Denkmäler der Tonkunst in Österreich* and had asked Mahler to join the *Denkmäler's* board of directors. See Reilly, *Mahler and Adler*, 93. Also, the purpose of the historical concerts is found in Mahler's interview with *Musical Courier*, 27 October 1909. See Chapter 1, pp. 19-20.

Mahler excerpted several of the dances from the Orchestral Suite in B minor (BWV 1067) and Orchestral Suite in D major (BWV 1068) and fused them into a single arrangement. Further, he modified the continuo portions of Bach's scores to include both the Steinway piano and organ. Unlike his other revisions of Beethoven, Schubert, or Schumann, Mahler changed relatively little of Bach's orchestration; instead, he focused on various elements in the two different works, creating from them a single composition.² Mahler's arrangement of Bach's works thus represents his most extended compositional effort concerning Bach's music and reveals more about his understanding and hearing of Bach's works than any other documentary source.

Bach's Suite No. 2 in B minor contains an Overture and six dances, the Suite No. 3 in D major an Overture plus four dances (see **Example 1**).³

Example 1: Form of Bach's Suites

Suite No. 2 in B minor

1. Overture
2. Rondeau

Suite No. 3 in D major

1. Overture
2. Air

² For example, Mahler's changes in his arrangement of Schumann's Symphonies are classified by Mosco Carner under seven headings: lightening of thick instrumental texture; throwing into relief of thematic lines and rhythmic patterns; changes in dynamic; improvement of phrasing; changes in the manner of playing; thematic alterations; and suggestions for cuts. There is no printed edition of Mahler's version, but his alterations have been entered on a number of copies of the original scores. See Carner's "Mahler's Re-Scoring of the Schumann Symphonies," in *Major and Minor* (London: Duckworth, 1980), 71-84. While most of Mahler's revisions were not published as separate pieces, his version of Bach's Suites was published in 1910 by the Schirmer Music Company.

³ Bach's four Orchestral Suites, which he composed from 1724 to 1739, are written in the style of the "Overture-Suite," beginning with a French Overture. The ensuing dances are those associated with the French *stil gallant*: air, gavotte, minuet, bourrée, badinerie, and jouissance. Bach thus followed the models of his contemporaries such as Fasch, Kuhnau, Graupner, and particularly Telemann, who himself produced 135 such works to satisfy the tastes of his employers. Such suites, above all, were meant to entertain the court.

- 3. Sarabande
- 4. Bourrée I, II
- 5. Polonaise
- 6. Menuet
- 7. Badinerie

- 3. Gavotte I, II
- 4. Bourrée
- 5. Gigue

The tonal form of both Suites is traditional, beginning with an Overture in the tonic key and proceeding to the Badinerie or Gigue, respectively, also in the tonic. Each dance is in rounded binary form and has a distinctive tempo and surface dance rhythm associated with it.

To preserve the integrity of Bach's original, Mahler retained the Overture from the B-minor Suite, followed by its Rondeau and Badinerie. Next, Mahler turned to the Air and two Gavottes of the D-major Suite. The back-to-back placement of the Badinerie from Suite No. 2 and the Air from Suite No. 3 highlights the diversity of keys and instrumental solos between the two suites. In Philharmonic performances of the Suites pre-dating Mahler's arrival, the melodies of the Badinerie and Air had registered a certain popularity and familiarity with the American public.⁴ Perhaps Mahler's arrangement took into consideration the popular appeal of these passages.⁵

⁴ Out of four possible Suites by Bach, only the B minor and D major Suites were performed by the New York Philharmonic before Mahler's arrival. The Suite No. 2 in B minor was performed by Anton Seidl in 1896, and the Suite No. 3 in D major by Emil Paur in 1898 and 1903. See James Gibbons Huneker, *The Philharmonic Society of New York and Its Seventy-Fifth Anniversary: A Retrospect* (New York: Printed for the Society, 1917), 50-76. Thus Mahler chose familiar works when programming and preparing his arrangement of Bach. The only one of Bach's Violin Concertos heard at the Philharmonic, that is in E major, BWV 1042, had been performed by Emil Paur in 1901 and was also included by Mahler in this Historical Concert. See also the review of the *New York Daily Tribune*, 11 November 1909, which described the rearrangement of the suite as "the well-known Air and Gavotte from the Bach's Suite in D" (Chapter 1, p. 22).

⁵ One could perhaps argue that the American audience that Mahler wished to educate would experience the popular Badinerie and Air precisely in the middle of his arrangement – possibly

In 1986 the German musicologist Volker Scherliess further pointed out that Mahler's arrangement combined the movements of the two suites together to resemble a typical four-movement symphony: the Overture as a first movement, Rondeau-Badinerie as the second, the Air, a moment of reflection, third, and two Gavottes as a concluding rondo-finale (see **Example 2** for Mahler's version of Bach).⁶ And, indeed, the Bach arrangement also begins in B minor and ends in D major – the dual-key plan characteristic of most of Mahler's symphonies and precisely that of Mahler's Second Symphony.⁷

Example 2: Four-movement, symphony-like design

- I. Overture
- II. Rondeau-Badinerie
- III. Air
- IV. Gavotte I and II

Mahler certainly thought this ordering of the dances produced a successful work, manifesting a possible appeal to an American audience, a structural coherence and, most crucially, an intellectual and artistic integrity totally consistent with his most fundamental beliefs about music. Certain of these beliefs lie in the tenets of nineteenth-century philosophies of art. The remainder of this chapter will consider Mahler's documented readings in nineteenth-century

just as the same audience was to begin to experience any sort of boredom in each of the original versions.

⁶ Volker Scherliess, "'Ganz nach Art der Alten': Mahler als Interpret Bach – Ein Beitrag zur Rezeptionsgeschichte," *Die Neue Zeitschrift für Musik*, 5 (1986), 4-8.

⁷ For example Mahler's Second Symphony begins in C minor and ends in D major; the Third moves from D minor to D major; the Fourth from B minor/G major to E major; the Fifth from C#

aesthetics, ultimately showing how principles inherent in these texts affect his arrangement of the Suite.

2. Mahler's Form and Goethe's Aesthetics

Over the last century, works about Mahler's music have described his pieces as the expression of a basic repertory of topics revealing a deep involvement with the features of German Romanticism: the sorrowful struggle and profound inner experience about nature, light, redemption, and transcendence among his themes, causing the constant state of moving, varying, becoming, and returning; humorous and ironic representation of thematic material; the abrupt change of moods from depression to exaltation and the contradiction of secular and celestial; the uses of vernacular components such as march, folksong, and Bohemian tunes; the quotation of preexisting materials; and the organic development within a movement, between movements, even between his symphonies.⁸ Any amalgam of these diverse features cannot be understood

minor to D major; the Seventh from E minor to C major; and the Ninth from D major to Db major.

⁸ On the constant state of moving, varying, becoming, and returning features, see Theodore Adorno, *Mahler: A Musical Physiognomy*, trans. Edmund Jephcott (Chicago: University of Chicago Press, 1992), Constantin Floros, *Gustav Mahler: Die Geistige Welt Gustav Mahlers in systematischer Darstellung*, 3 vols (Wiesbaden: Breitkopf & Härtel, 1977); Floros, "Ein Luftzug von dem Sturmflug unserer grossen Zeit: Gustav Mahlers Aktualität," in *Gustav Mahler "Meine Zeit wird kommen": Aspekte der Mahler-Rezeption*, (Hamburg: Dölling und Galitz, 1996), 11-24.

On humorous and ironic representation of thematic material and the abrupt change of moods from depression to exaltation and the contradiction of secular and celestial, see Eveline Nikkels, "Vestdijk on Mahler, 1924-69: A Symphony in Words," in *On Mahler and Britten: Essays in Honour of Donald Mitchell on his Seventieth Birthday*, ed. Philip Reed (Aldeburgh: The Britten-Pears Library, 1995), 94-100; Donald Mitchell, "The Modernity of Gustav Mahler," in *Neue Mahleriana: Essays in Honour of Henry-Louis de La Grange on his Seventieth Birthday*, ed. Günther Weiss (Bern: Peter Lang, 1997), 175-90.

On the uses of vernacular components, see Carl Dahlhaus, "The natural world and the 'folklike tone,'" in *Realism in Nineteenth-Century Music*, trans. Mary Whittall (Cambridge:

without an examination of Mahler's wide-ranging reading habits in philosophy, literature, and the natural sciences, documented in many of his letters and the biographical writings of his associates.

Under the influence of his friend, the poet and philosopher Siegfried Lipiner, Mahler read Goethe, Kant, Schopenhauer, Wagner, and Nietzsche. However, he had even greater interest in lesser-known thinkers, especially those who attempted to combine philosophy and science. He knew the works of Lipiner's teacher, Gustav Theodore Fechner, who was a Goethe scholar, physicist, doctor, experimental psychologist, and animist philosopher; as well as the works of Rudolf H. Lotze and Johannes Reinke.⁹ All of these philosophers had ideologies in which the unity of science and art was the paramount concept. This holistic worldview (*Weltanschauung*) permeated Mahler's understanding of musical repertoires – not surprisingly, he viewed Bach as a great *scientist* because

Cambridge University Press, 1985), 106-14; Robert P. Morgan, "Ives and Mahler: Mutual Responses at the End of an Era," in *Charles Ives and the Classical Tradition*, ed. Geoffrey Block and J. Peter Burkholder (New Haven: Yale University Press, 1996), 75-86; Helmut Strojohann, "Gustav Mahlers Verhältnis zur Volksmusik," *Musica* (June 1960), 357-59.

On the quotation of the preexisting materials: for example, the quotations of his Wunderhorn songs in the early Symphonies or the insertion of short passages inserted of other works, see Mitchell, *Mahler, Vol. II*, 27-44; Henry-Louis de La Grange, "Music about Music in Mahler: Reminiscences, Allusions, or Quotations?" in *Mahler Studies*, ed. Stephen E. Hefling (Cambridge: Cambridge University Press, 1997), 122-68; Warren S. Smith, "Mahler quotes Mahler," *Chord & Discord* 2/7 (1954), 7-13; Monika Tibbe, *Über die Verwendung von Liedern und Liedelementen in instrumentalen Symphoniesätzen Gustav Mahlers* (Munich: Musikverlag, 1977).

On the preference for polyphonic writing presenting these romantic ideas, see Adorno, *Mahler*, Chapter VI; Reilly, *Mahler and Adler*, 53-7; Redlich, *Bruckner and Mahler*, 158-9; Mitchell, *Mahler, Vol. II*, 345-62; Boris W. Pillin, *Some Aspects of Counterpoint in Selected Works of Arnold Schoenberg* (Los Angeles: Western International Music, Inc., 1970), 40-2.

Also on the topic of German Romanticism, Lilian R. Furst, the author of *Romanticism in Perspective*, proclaimed that it is an extension of the *Sturm und Drang* developed by Lessing and Herder and can be defined as follows: the belief in the autonomy of the divinely inspired genius, intuitive feeling, complete freedom of artistic expression, the trust in spontaneous emotion and instinct, a new pantheistic vision of nature as part of a unified cosmos, and the notion of organic growth and development. See her *Romanticism in Perspective: A Comparative Study of Aspects of the Romantic Movement in England, France and Germany*, 2nd ed. (London: Macmillan Press Ltd., 1979), 27-52.

⁹ Stefan, *Mahler*, 17.

of his achievements in polyphonic writing.¹⁰

Mahler's reading habits in aesthetics and science validate the opinions of Bruno Walter, who noted Mahler's conversation was "a perfect mirror of the multifariousness of his intellectual interests."¹¹ According to Walter, it was biology with which Mahler was especially fascinated. As Alma noted in the cottage in Maiernigg, where Mahler stayed and composed every summer from 1902 to 1907, Mahler had a complete collection of Goethe. Besides *Faust*, Mahler read *Wahrheit und Dichtung*, *Wilhelm Meister*, Goethe's letters, and, particularly, Eckermann's *Conversations with Goethe*.¹² Mahler showed a particular predilection for the Eckermann text, stating that he had been reading it "for decades" and that it was one of his "dearest possessions."¹³ Perhaps this text is responsible for Mahler's fascination with science and art, for Eckermann highlights Goethe's identity as a natural scientist and poet.¹⁴ There is no doubt that Johann Wolfgang von Goethe's general attitude to nature and his prolific work in the field of botany, as evidenced in the conversations with Eckermann,

¹⁰ Mahler's notion that "the ideal for the future would be composers who are as excellent in the science of Bach's polyphony as they are singers of folk-music" can be interpreted as an extension of scientific research. See Chapter 1, p. 19.

¹¹ Mahler was delighted to discuss with friends, for instance, a physicist, his inexhaustible knowledge of topics such as gravity and entelechy. See Walter, *Mahler*, 160. Mahler's friend Ernst Decsey described his living room as piled high with an enormous quantity of books, mostly philosophical writings, but also including all the volumes of Brehm's encyclopedia of animals. See Lebrecht, *Mahler*, 252-3.

¹² Johann Peter Eckermann was a poet who became familiar with the works of Schiller, Klopstock, and, finally, Goethe. From 1823 he served as an assistant to Goethe in Weimar.

¹³ Mahler, *Selected Letters*, 325-6.

¹⁴ In Goethe's *Conversations with Goethe by Johann P. Eckermann* (Letchworth: Temple Press, 1935), 172, Goethe noted, "I should be glad if people came to a clear understanding in natural science, and then adhered to the truth." Mahler passionately turned to the natural sciences "to seek the ultimate meaning of everything that is, everything that happens." See Walter, *Mahler*, 152-3.

would especially influence Mahler's aesthetics. As Bruno Walter noted, "Goethe was the sun in the sky of Mahler's spiritual world."¹⁵ Accordingly, the relation of Goethe's artistic to his scientific forms of thought was embodied in Mahler's music.

Goethe worked in many fields of science and pseudo-science: alchemy, zoology, meteorology, geology, biology, and the theory of color. However, Goethe developed his notion of botany most systematically. Moreover, his philosophic doctrine of metamorphosis attained its greatest clarity as a hypothesis of botany, the essential key to an understanding of Goethe's thought.¹⁶ When Goethe observed the growth of plants, his mind's eye was focused on the process of development itself. Unlike Darwin's evolutionary view, Goethe's is non-linear, non-teleological; it begins at an undetermined point and simply continues changing into the future until it transforms itself into something new. Goethe's view is that what is becoming is timeless, evolving on its own terms toward a new state of perfection.¹⁷

Goethe enacted his philosophies of transformation in his study of thousands of plants in Italy. From this experience he sought insight as an enthralled participant in nature rather than as an objective observer. For him the act of observation is not a cause-and-effect sequence but knowledge

¹⁵ Walter, *Mahler*, 155; Original German text in Walter, *Gustav Mahler*, 95: Als Sonne aber stand am Himmel seiner geistigen Welt Goethe....

¹⁶ In turn, Fechner and Reinke, both as philosophic botanists, show a direct connection to Goethe in their writings and attributed a soul even to plants. Mahler was delighted by Fechner's *Zend-Avesta*, a mystical view of the universe based on Eastern philosophy, and his *The Spiritual Life of Plants*, as well as Reinke's botanic works. See Walter, *Mahler*, 153.

¹⁷ Johann Wolfgang von Goethe, *Scientific Studies*, ed. and trans. Douglas Miller (New York: Suhrkamp Publishers, 1988), xiii.

comprehensible only through a kind of personal involvement with “higher intuitive contemplation” (*höhere Anschauung*) and “delicate empiricism” (*zarte Empirie*). Through acts of contemplation, he viewed his subject as a holistic enterprise in which all plants were in some sense a manifestation of one archetype, the *Urpflanze*.¹⁸ He tended to think of his literary works in ways analogous to botany, which would clearly show the processes of organic growth and transformation.

In his *The Metamorphosis of Plants*, Goethe divided the growth processes into regular and irregular metamorphosis, both progressive and retrogressive, respectively. Progressive metamorphosis proceeds step by step from the first seed leaves to the final shaping of the fruit, ascending by transformation to the pinnacle of nature, the blossom and fruit. While progressive metamorphosis proceeds with irresistible drive and vigorous effort, retrogressive metamorphosis slackens these forces and leaves its creation in an indeterminate, malleable state. For example, the stages of progressive metamorphosis up to the moment of flowering are “successive,” while retrogressive metamorphosis of the sepals, petals, stamens, and pistil of the flower develop “simultaneously.”

These two processes create a dual dynamic, termed by Goethe the second great driving force of nature, “polarity”:

No living thing is unitary in nature: every such thing is a plurality. Even the organism which appears to us as individual exists as a collection of independent living entities. Although alike in idea and predisposition, these entities, as they materialize, grow to become alike or dissimilar. In part these entities are joined from the outset, in part they find their way together to form a union. They diverge and then seek each other again; everywhere and in every way they thus work to produce a chain of

¹⁸ The pattern he envisioned is “all leafiness,” containing the potential for development into organically interconnected parts.

creation without end.¹⁹

The concept of polarity served Goethe throughout his scientific research as the interplay of the expansion and contraction of leaf forms in botany; the diastole and systole of the heart in vertebra morphology; and the light and dark in the theory of color, etc. He saw these principles as not only related to science but also to art as evidenced by his poem, "The Metamorphosis of Plants."²⁰ In the conversations with Eckermann, Goethe particularly discussed how Lessing had described the polarity of the sculpture of *Laocoön*. When Goethe talked about the philosophical presentation of this artwork, he realized how aspects of the sculpture "became alike or dissimilar, [but found] their way together to form a union" – so that a doubt or questioning in the spectator, in the end, was brought to a certainty, infused with a higher holistic sense of knowing.²¹ As we shall see, these notions of polarity and ultimate fusion of materials into a whole were also seminal in Mahler's handling of counterpoint and creation of tonal forms.

Goethe felt that his observations of the natural world had influence on his own life experiences. In the conversations with Eckermann, he said:

¹⁹ Goethe, *Scientific Studies*, 64.

²⁰ Goethe wrote about the idea that "science developed out of poetry" and that "they both might well unite again on some higher plane" in his "Zur Morphologie. Schicksal der Druckschrift," *Werke* (Sophienausgabe), 2nd series, VI, 139. The statement is translated and quoted by Alexander Gode-von Aesch in *Natural Science in German Romanticism* (New York: Columbia University Press, 1941), 21. The complete text of the poem, "The Metemorphosis of Plants," is provided in Appendix D.

²¹ Eckermann, *Conversations*, 190-1. *Laocoön* is a sculpture depicting the tremendously fearful moment of a father and two sons in danger of destruction from two fierce sea serpents. Lessing had written an essay on the comparison of all artistic genres describing the *Laocoön*, and Goethe himself wrote an essay on the sculpture, "Upon the *Laocoön*," with great admiration of its symmetry and variety, and contrast and gradation as well. See "Upon the *Laocoön*," in *Goethe's Literary Essays*, selection in English arranged by J. E. Spingarn (New York: Harcourt, Brace and Company, 1921), 22-35.

The world is so great and rich, and life so full of variety.... Reality must give both impulse and material for their [poets'] production. Reality must give the motive, the point to be expressed, the kernel, as I may say; but to work out of it a beautiful, animated whole, belongs to the poet. You know Fürnstein, called the Poet of Nature; he has written the prettiest poem possible on the cultivation of hops. I have now proposed to him to make songs for the different crafts of working-men, particularly a weaver's song, and I am sure he will do it well, for he has lived among such people from his youth; he understands the subjects thoroughly, and is therefore master of his material.²²

He further advised Eckermann to work with his own personal experiences in order to write a great poem, in which "no part can be evaded; all which belongs to the animation of the whole, and which is interwoven into the plan and must be represented with precision."²³ Goethe pointed out that the essential process of organizing a whole is the inclusion of the intimately experienced objects from a real life.

The aesthetic beliefs of Mahler reflect Goethe's idea of personal experience in the presentation of artwork. Mahler's music broadly encompasses his life experience – military bands, folksongs, folk-dances, Bohemian tunes, popular tunes, birdcalls. Insisting his first two symphonies be labelled as "symphonies," not as "symphonic poems," Mahler told Bauer-Lechner that "I have written into them everything that I have experienced and endured – Truth and Poetry in music."²⁴ Consequently, he explained polyphonic writing metaphorically in a life experience:

At the fête on the Kreuzberg, an even worse witches' Sabbath was in progress. Not only were innumerable barrel-organs blaring out from merry-go-rounds, swings, shooting-galleries and puppet shows, but military band and a men's choral society had established themselves there as well. All these groups, in the same forest clearing, were creating an incredible musical pandemonium without paying the slightest attention to each other. Mahler exclaimed: "You hear? That's polyphony, and that's where I get it from! For it's all the same whether heard in a din like this or in the singing of thousands of birds; in the howling of the storm, the

²² Goethe, "Extracts from Conversations with Eckermann," in *Goethe's Literary Essay*, 259.

²³ *Ibid.*, 260.

²⁴ Bauer-Lechner, *Recollections*, 30. Here "Truth and Poetry" (Wahrheit and Dichtung) alludes to the title of Goethe's autobiography, *Dichtung und Wahrheit*.

lapping of the waves, or the crack of the fire. Just in this way – from quite different direction – must the themes appear; and they must be just as different from each other in rhythm and melodic character.”²⁵

Mahler saw this experience as identical to Goethe’s notion of the role of the artist. The only difference between nature and an art work is that the artist orders and unites all ideas into one concordant and harmonious whole; as Goethe said, “Facts and characters being provided, the poet has only the task of animating the whole” to create “a great work with many-sidedness.”²⁶ In this sense, Mahler’s choice of diverse materials, folk-song, marches, music from childhood, sounds of nature, his earlier composed songs, his symphonic works, or Latin Christian hymns and Goethe’s *Faust* (in the Eighth) and two Bach Suites in the context of a piece, must be fused into one. This organic vision of material is even shown in performance as he appraised the degree of clarity of each line in

Carmen:

The most important thing in composition is clarity of line – that is, every voice should be an independent melody, just as in the vocal quartet.... In the string ensemble, the texture is transparent enough in its own right. This becomes less and less true as the orchestra grows bigger, but the need for a similar clarity must remain. Just as the plant’s most perfect forms, the flower and the thousand branches of a tree, are developed from the pattern of the simple leaf – just as the human head is nothing but a vertebra – so must the laws of pure vocal polyphony be observed even in the most complex orchestral texture.²⁷

This multiple and many-sided polyphony produced the vocabulary of Mahler’s music.²⁸ In Adorno’s words, Mahler’s polyphonic thinking meant “the

²⁵ Bauer-Lechner, *Recollections*, 155-6.

²⁶ Goethe, “Extracts from Conversations,” 260.

²⁷ Bauer-Lechner, *Recollections*, 75.

²⁸ Not surprisingly, both Mahler and Goethe saw the most highly organized form, a direct result of the process of organic growth, in polyphony such as Bach’s fugues. The essay by Marianne von

tendency toward chaotic, unorganized sound, the unregulated, fortuitous simultaneity of the world, the echo of which his music, through its artistic organization, seeks to become."²⁹ In his working out of tonal forms, Mahler organized his polyphony of materials with Goethe's principle of polarity in mind. He explained that Haydn, Mozart, and Beethoven were masters of contrast because of their dealings with two contrasting themes, so that they created two different worlds to be united at some point into a whole.³⁰ Mahler himself valued contrasting themes throughout his works: sometimes he applied more than two themes, organically developed from the previous two contrasting themes; sometimes the contrasting themes finally combined into one. In these treatments of themes, Mahler often applied the techniques of polyphonic writing derived from Bach to modify or combine the themes by superimposing one over another, resulting in various forms of contrapuntal combination.

Mahler's themes and the contrapuntal combinations thus always create a state of becoming, and they move toward an ultimate conclusion or goal, perceived as transcendent in a metaphysical sense, a feeling captured in Mahler's words:

We must strive just the same to create for beyond our own time and beyond ourselves, to become better.³¹

In the organic process, the concept of polarity is the most influential

Willemer on Goethe shows Goethe's interest in Bach's fugues. See *Goethe's World as Seen in Letters and Memoirs*, ed. Berthold Biermann (New York: New Directions Books, 1949), 324.

²⁹ Adorno, *Mahler*, 112.

³⁰ Lebrecht, *Mahler Remembered*, 254.

³¹ La Grange, *Mahler*, Vol. 2, 718.

factor for achieving a sense of ultimate soul, or *Steigerung*. As Goethe had written in the poem “The Metamorphosis of Plants”:

Oh, then, bethink thee, as well, how out of the germ of acquaintance,
Kindly intercourse sprang, slowly unfolding its leaves;
Soon how friendship with might unveiled itself in our bosoms,
And how Amor at length brought forth blossom and fruit!
Think of the manifold ways wherein Nature hath lent to our feelings,
Silently giving them birth, either the first or the last!
Yes, and rejoice in the present day! For love that is holy
Seeketh the noblest of fruits, – that where the thoughts are the same,
Where the opinions agree, – that the pair may, in rapt contemplation,
Lovingly blend into one, – find the more excellent world.³²

This notion of polarity, intensification, and ultimate transcendence had a crucial effect upon Mahler’s notion of tonal form. The composer told Natalie Bauer-Lechner that he deliberately avoided concluding any of his symphonies in the opening key.³³ Perhaps the workings of the many material and structural polarities within Mahler’s works so extended and mixed the tonality and developmental materials that they could not return to the place from which they began. Mahler’s symphonies thus led to a conclusion in which the multiple dualities ultimately unite and intensify to form a new transcendent environment as a whole. For Goethe, this process was a primal fact of science and art. For Mahler, it was a fundamental process in his compositional life.

3. Rewriting the Suite: The Polarity of Form

Mahler’s arrangement of Bach’s Suites reflects an interest in a duality of materials, ultimately reaching a point of union and possible transcendence. In fusing different suites into one, Mahler had to contend compositionally with two

³² Johann Wolfgang von Goethe, *The Poems of Goethe*, trans. E. A. Bowring et al. (New York: Thomas Y. Crowell & Co., 1882), 255-8.

different pieces consisting of various dance movements with different instrumentation and tonic keys. The treatment of these varied polarities can clearly illustrate Mahler's efforts to create a holistic vision. In choosing five movements from two suites, Mahler paired the selected movements, first-third and second-fourth, thus increasing the polarity within the arrangement. On the other hand, he lessened the polarity in the paired movements by fusing the Rondeau and Badinerie into one movement, an A-B-A structure that would formally balance the concluding two Gavottes. The elements of key relations, rhythmic and motivic treatments, and instrumental contrasts further contribute to making the arrangement's polar relations lead to a unified whole.

The Overture reflects the French-ouverture style, which consists of a first section (A) in dotted rhythms and running notes and a second part (B) in fugal style with solo and tutti sections projecting the ritornello form. At the end of the second part, a slow variation of A recurs in fugal style. The formal design has a basic duality of keys: the tonic B minor and mediant D major, the *very keys* outlining the entire arrangement.

Within a monotonal system such as that proposed by Arnold Schoenberg's theories,³⁴ B minor has a submediant relation (sm) to D major.³⁵ Part A is divided into two sections, a and a'. Section a moves through the

³³ Bauer-Lechner, *Recollections*, 131.

³⁴ Schoenberg's concept of monotonicity is that all pitches, chords, and key areas are related to one another and to the centric key area, so that there is only one tonality in a piece. See his *Structural Functions of Harmony*, ed. Leonard Stein (New York: Norton, 1954), 19.

³⁵ Here I will apply the concept or terminology of monotonicity that Schoenberg developed to show all the key relationships in a work. Although the work was compiled from movements in two different keys, Schoenberg's notion of key relations implies in D major as the main tonic (in bold). However, both B minor and D major key regions are marked in the diagrams.

supertonic minor region (**st**) to a half cadence (m. 10) in the relative major region – again a B minor-D major relation reflecting the entire arrangement. Section a' begins in the tonic (**T**) and returns to the **sm** through the dominant major region (**D**) and **st** region (See **Diagram 1**).

Part B is written in the ritornello form in which tutti (ritornello) and solo (episode) are played alternately. The ritornelli are tonally stable, while episodes are modulatory. Here, after the first ritornello (R1) is played in the **sm** region, the first episode (E1) moves to the **T** region through the **D** and flat-median minor (**bm**) regions. The R2 establishes the **T** again, and E2 moves to the **st** region. The **st** region does not pervade the whole R3 but prepares to return to the **sm**, although the **T** region recurs in E3 and R4. The final A' is played in the **sm** and is a melodic and rhythmic variation of part A in fugal style.

Diagram 1: The form and key relationships in the Ouverture in B minor

A	a	1-11	b minor	D major
	a'	11-20	t-sd-M M- SubT-sd-t	sm-st-T T-D-st-sm
B	R1	21-9	t	sm
		30-43	t-d-t	sm-bm-sm
		44-55	t	sm
	E1	55-78	t- SubT-d-M	sm-D-bm-T
	R2	79-94	M	T
	E2	95-102	M-sd	T-st
	R3	103-19	sd-(M)-t-sd-t	st-(T)-sm-st-sm
	E3	120-37	t-M	sm-T
	R4	138-51	M-t-sd-t	T-sm-st-sm
	E4	152-74	t	sm
A'	R5	175-97	t	sm
	a	198-215	t-(sd)-t	sm-(st)-sm

The key relationships of the Overture in B minor thus show that the T region (D major) is implied continuously throughout the movement, so the main polarity of key regions occurs between **sm** and T, and secondarily between T and **st**, **D**, and **bm** regions. While the **D** and **bm** regions recur two times, respectively, the **st** region more frequently recurs throughout the Overture. Further, the **bm** region only briefly occurs in the **sm** or in between **D** and T, and the **D** always recurs related to the T.

All the remaining movements are in the expected binary dance form, except for the Rondeau.³⁶ As mentioned above, Mahler rewrote the Rondeau and Badinerie to fuse into a Rondeau-Badinerie (see Diagram 2 and 4).³⁷

Diagram 2: The form and key relationship of the Rondeau-Badinerie

			B minor	D major
A (Rondeau)	a	1-16	t	sm
	b	17-28	sd-t	st-sm
	a	29-36	t	sm
	c	37-52	M-t	T-sm
	a	53-60	t	sm
B (Badinerie)	A	61-76 (77-92)	t-d	sm-bm
	A'	93-116 (117-40)	d-sd-M-t	bm-st-T-sm
A' (Rondeau)	a	141-48	t	sm
	b	149-60	sd-t	st-sm
	a	161-69	t	sm

Diagram 3: The form and key relationship of the Air in D major

		D major	
ll: A	1-6	T-D	:ll
ll: B	7-18	D-sm-T	:ll

³⁶ The French dance movements, Gavotte and Bourrée, are to be played alternatively, that is, as a pair of similar dances numbered I and II with the first repeated after the second, exactly as in the Classical minuet and trio.

³⁷ For the rearranged movements with the repeated sections, the bar numbers were marked according to Mahler's version.

Diagram 4: The form and key relationship of the Gavotte

Gavotte I

ll: A	1-10	D major
ll: A'	11-26	T-D :ll
		D-sm-T:ll (Fine)

Gavotte II

ll: B	1-16	T-D :ll
ll: B'	17-32	D-sm-T :ll (Da capo)

The Rondeau moves to the **st** and **T** region in each episode, respectively, the same relationship as that of the preceding Overture. The Badinerie moves to the **bm** region, whose extension is limited by a move from the **st** back to the **T**. Thus the main polarity is the **sm** against **T** analogous to that of the Overture. The following movements, Air and Gavotte, excerpted from the Third Suite in D major, are more tonally stable than the preceding ones. Because of their binary form and their major mode, they move most frequently to the **D** region, but highlight the **sm** region as well.

The degree of polarity found between the Overture and Rondeau-Badinerie is more pronounced than between the Air and Gavotte. In the first two movements there are four levels of polarities: between **sm-T** (B minor-D major); **sm-st** (I-IV in B minor); **D-bm-T** (V-bIII-I in D major); and **sm-bm** (I-V in B minor). On the other hand, the last two movements have only **T-D** and **T-sm**. Because of the related key regions between the former and the latter, the upper level polarity decreases to become a unified form. The beginning in the different key from that of the ending and the diverse explorations of the key regions

provide various levels of polarities and are finally integrated in the last movement, along with their forms. The exploration of various key regions and the defined levels of polarities of these regions in part A and ritornelli of the Overture are mitigated in the Rondeau-Badinerie, and the degree of polarities the least occurs in the Air and Gavotte. It can be explained with the contexts of their formal structures, the frequent changes of key regions occurred even in the episode of the Overture, which is supposed to be tonally stable in the tradition of ritornello form but became stable in the refrains of the Rondeau. The key relationships are obviously more simplified in the Air and Gavotte, with their binary form. In addition, the contrasts and similarities in surface rhythmic patterns or motivic relations will show other different levels of polarity.

The key polarities of the arrangement of Bach's Suites thus embody Goethe's words on the concept of polarity: "Every such thing [living thing] is a plurality...exists as a collection of independent living entities.... These entities grow to become alike or dissimilar.... They diverge and then seek each other again...they thus work to produce a chain of creation without end" (This quotation is given in full on pp. 53-4).

Similarities in local metric and rhythmic patterns, and in pitch relationships are crucial for Mahler's combining of the Suite movements. Whereas similar elements are found in the material from Bach's original works, the additional organic coherence is highly explored by Mahler. For example, the rhythmic parallelisms of the opening rhythm of the first violin in the Rondeau-Badinière mirror those of the viola and the first violin in the Gavotte

(see Example 3).³⁸

Example 3: Rhythmic similarities between the Rondeau and Badinerie, and the Gavotte

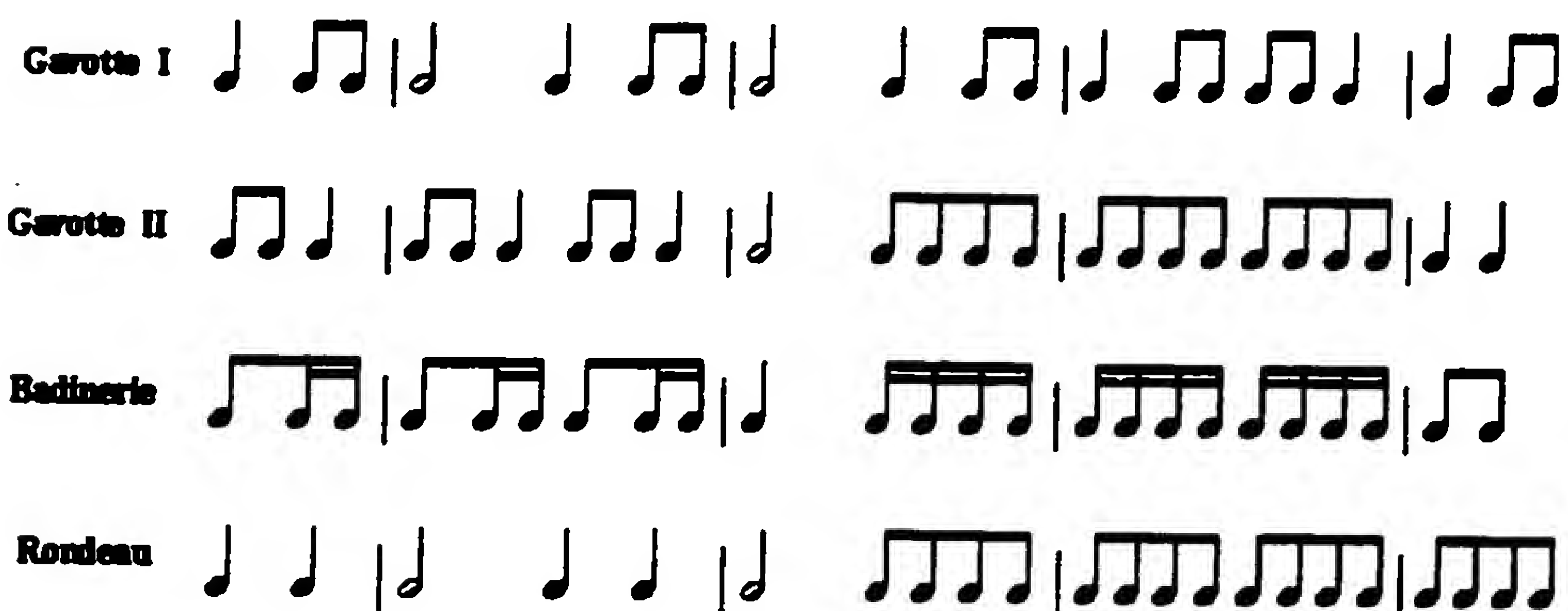


Further, in the Gavotte II, the anapestic rhythmic figure of the Gavotte I is rhythmically reduced by half to the written-out mordent figure. The Rondeau and the Gavotte's rhythmic patterns (anapestic: uu-) are indeed a reversed form of the rhythm of the Badinerie (dactylic: -uu) with values halved. The rhythmic figures and the two-measure metric structure with caesura in the middle of the bar reflect those of the Rondeau and the Badinerie.³⁹

³⁸ The "Rondeau" here represents only its cyclic formal structure; it is written in Gavotte dance rhythm. The Gavotte has balanced and rhyming phrase structures in a slow tempo, and its metric structure is duple with the beat on the half note, so that the meter is 2 or C. Since the first beat of the dance rhythm comes before the first bar line, the grouping of beats by two occurs across the bar line. See Meredith Little and Natalie Jenne, *Dance and the Music of J. S. Bach* (Bloomington: Indiana University Press, 1991), 50-1.

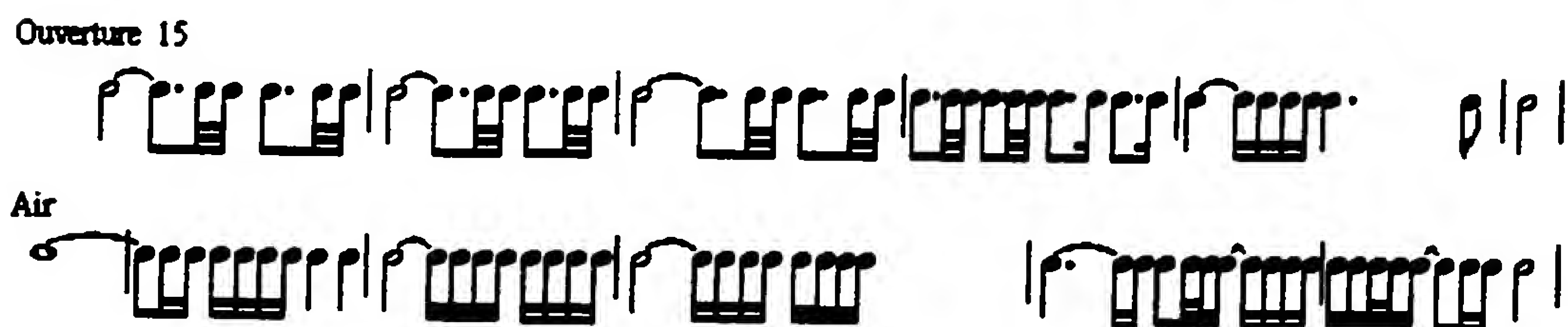
³⁹ Two dances are often considered a pair if they share characteristics such as cut time or if both begin with an upbeat, as do the Badinerie, Rondeau, and Gavotte in standard Baroque practices. See Eric Schwandt, "Badinage, Badinerie," in *The New Grove Dictionary of Music and Musicians*, 2nd ed. (London: Macmillan, 2001), Vol. 2, 457-8.

Example 4: Similar rhythmic patterns in Gavottes I and II, and the Badinerie and Rondeau



Similarities of the surface rhythmic patterns are also found between the slow movements, the Overture and the Air. The rhythmic pattern of the half note tied to the small note values, such as the dotted eighth with thirty-seconds or sixteenths, occurs in both movements.

Example 5: Similar rhythmic patterns in Overture and Air



The difference in the usage of the pattern between the two movements is that the one appears in the end of part A as a sequential procedure in liquidating the dotted figure of theme in the Overture, the other as a virtuosity tune in the Air.

Consecutively syncopated rhythmic patterns occur in the basso continuo part as the counterpoint against the main theme in the Ouverture and the Rondeau-Badinerie. Other syncopated rhythmic patterns are found in the Badinerie and the Air. In the Rondeau-Badinerie, the pattern occurs in the violin counterpoint against the basso continuo (mm. 7-10), while in the Air it occurs in the closing melody of the first violin (m. 13-4).

Example 6: Syncopated rhythmic patterns in the Badinerie and Air

Badinerie: Vn II



Air : Vn II



In the Rondeau and Gavotte movements, the same technique of motivic development, inversion, is found. For instance, the initial motive of a descending minor sixth in the Rondeau is inverted to an ascending minor sixth at mm. 36-7. Likewise, the opening motive of an ascending minor seventh in the Gavotte is inverted to the descending minor seventh at mm. 11-2.

Example 7: The motivic inversions in the Rondeau and Gavotte



There are also inverted intervallic relations of the sixth. Since the descending sixth is the most characteristic figure in the Rondeau, it is therefore immediately perceptible when the ascending sixth of the flute occurs in the second half of part A in the Badinerie (m.67).

Example 8: The inverted intervallic relation in the Rondeau and Badinerie



Presumably, the pitch relationship had also been considered by Mahler as one of the factors when selecting movements. The same pitch orders appear in the head motives of the Ouverture, Rondeau, and Gavotte, consisting of the scale degrees 1-6-5-1. The relationship is shown in **Example 9**.

Example 9: Similarities in pitch order

The pitch contour of the first theme of part A in the Ouverture consists of B-G-F#-B ($\hat{1}-\hat{6}-\hat{5}-\hat{1}$) in B minor. In part B, just as the *tutti* ritornello theme begins with the melodic contour of G-F#-B ($\hat{6}-\hat{5}-\hat{1}$) in the same key, the fugal episode is the exact variation of the first theme with the $\hat{1}-\hat{6}-\hat{5}-\hat{1}$ melodic contour. In Rondeau the head motive is D-C#-F#, which is $\hat{3}-\hat{2}-\hat{5}$ in B minor, and is equivalent to $\hat{6}-\hat{5}-\hat{1}$ on the D. The last movement of the Suite, the Gavotte, opens with pitches similar to those of the Ouverture, (A-)G-F#, although those two movements are in different keys. The common pitches, G-F#, are $\hat{4}-\hat{3}$ in the tonic of this movement

and $\hat{6}-\hat{5}$ in its *sm* region (B minor).

The technique of motivic inversion common in both the Rondeau and Gavotte is also extended to Mahler's newly arranged continuo part for the Overture. The motive, which was a *tutti* melody (m. 117-8), used first diminished and then used as part of the counterpoint against the flute solo (mm. 120-1), is sequentially developed and inverted in the klavier. Moreover, it is inverted at the interval of a sixth (mm. 128-9), anticipating the inversion of the Rondeau motive and the second half of part A in the Badinerie (See Examples 7, 8). The klavier here plays a role not as a continuo but as an independent counterpoint against the basso continuo, which plays the main theme imitatively.

Example 10: Motivic inversion in the Overture



The most obvious motivic inversions can be found perhaps in the second and last movements. The klavier counterpoint of the Rondeau (m. 31), a varied motivic figure of the descending sixth, is re-employed in the klavier counterpoint of the Gavotte in m. 11.

Example 11: Motivic coherence in Rondeau and Gavotte

The image displays three staves of musical notation. The top staff is labeled 'Rondeau' and contains a melodic line with a measure number '31'. The middle staff is labeled 'B.C.' and features a bass line with several measures. The bottom staff is labeled 'Klavier' and shows a piano accompaniment. Below these, a separate system is labeled 'Gavotte' and contains two staves of music, with a measure number '11' indicated. The notation includes various musical symbols such as clefs, key signatures, and note values.

A crucial formal juncture between the two different Suites is located between the Rondeau-Badinerie and the Air. At this point Mahler used the same pitch content that occurs at the very end of the recurring Rondeau, the second movement, and the opening of the Air, the third movement.

Example 12: The same pitch content in the juncture of two movements

The image shows a single staff of musical notation labeled 'Rondeau'. It features a melodic line with a double bar line indicating a juncture. Above the staff, there are annotations: a '5' with an upward arrow, a '1' with an upward arrow, and a '3' with an upward arrow. To the right, there are two more annotations: a '2' with an upward arrow and '(in D major)', and a '1' with an upward arrow and '(in b minor)'. The notation includes various musical symbols such as clefs, key signatures, and note values.

The Rondeau ends with the repeated gesture of F#-B, which is the dominant and

tonic in b minor. The Air is introduced with the F# and B, which are the scale degrees 3-6 in D major but 5-1 in the *sm* region (B minor), the tonic of the preceding movement. This same pitch relationship naturally connects the crucial moment of the juncture between the two movements in the different keys.

Finally, instrumentation plays a role in Mahler's arrangement. Mahler employed diverse continuo instruments as shown in **Diagram 5**.

Diagram 5: Mahler's Arrangement of the Continuo Instruments

- I. Ouverture: klavier and organ
- II. Rondeau-Badinerie: klavier
- III. Air: none
- IV. Gavotte: klavier

Both klavier and organ were employed in the first movement, only klavier in the second and fourth, and only *pizzicato* bass in the third.⁴⁰ Thus, the contrast which depends on the sonority of the continuo instruments appears in three permutations. While the Air acts as a moment of reflection, like the slow movement of a typical symphony, the more boisterous Ouverture with both klavier and organ is balanced out by the imposing sound of oboes, trumpets and timpani in the last movement. Mahler also seems to have emphasized the contrasting effect of the brilliant and forceful sound of the outer movements with the solo instruments in between. For the solo movements, he selected the Badinerie, the virtuoso flute solo movement, and the Air, composed of the charming melody for the first violin, emphasized by the annotation he had made in the opening of the

⁴⁰ The indication of *pizzicato* does not appear in the manuscript.

latter movement, “*Violin Solo*,” in his own *Bachgesellschaft* edition.

The newly employed continuo instruments function differently between the first movement and successive movements. In the last three movements, which are in binary form with many repeated sections, Mahler added the klavier part in turn when the section is repeated, so that the two repeated sections have different colors; whereas in the first movement, the continuo instruments not only support harmonies of the other parts in conventional ways but also perform as solo instruments. Mahler’s treatment of continuo instrumentation, distinguished from Baroque practice, can be seen clearly in his own *Bachgesellschaft*, which shows his addition of new parts between the original parts of the score (see Appendix C). They either double or provide a counterpart, or take part in contrapuntal imitation. Recurring ritornelli also have contrast in volume and color, with alternation between klavier and organ; the klavier increases the local polarity within the form of the Overture. When part A is repeated in fugal style at the end (A’), it sounds with the additional imitative counterpoint of the first violin.

Mahler’s alteration in orchestration shows his own personal style: he thickens the strings with additional players and reinforces the flute solo in the Badinerie, writing in the footnote “forte with additional flutes, reinforced by a clarinet if needed.”⁴¹ There are also minor alterations, such as adding dynamics and rests to refine the clear articulation; new tempo marking such as *ritardando* at structurally important moments; and abrupt dynamic changes commonly found in his own work.

⁴¹ Gustav Mahler, *Suite aus den Orchesterwerken von Johann Sebastian Bach mit ausgeführtem Continuo zum Konzertvortrage Bearbeitet* (New York: G. Schirmer, 1910), 1.

Postscript

When Schoenberg was about to perform Mahler's arrangement of Bach's Orchestral Suites in 1912, he wrote in his diary as follows:

Decided to add a continuo to the third movement (Andante, "Air") of the Bach-Mahler-Suite. Mahler found it superfluous; I find it necessary. Bach himself had it this way, and I [can] see that it grows out of everything. Besides, I also find that the first movement of Mahler's transcription has too little of the character of the organ. And I find the idea of such a suite not altogether successful. One senses that it was not a piece conceived as a whole. The "logic (*Folge*)" is lacking, the inner relationship. Besides, I have the feeling as if Mahler sensed this himself. Would have had the current second movement only as the final movement, and then undertaken a re-organization. But of course this could not change anything since good taste is never able to replace intuition.⁴²

Schoenberg obviously did not regard the arrangement's polarities of key and instrumental texture as coming together to form a coherent whole. The tonal, instrumental, and motivic solutions that worked for Mahler's ear remained incoherent for him. Schoenberg's comments are particularly engaging in one sense: he hears Mahler's arrangement like one of his own pieces – and indeed, upon first hearing the tonal and motivic polarities of Mahler's First and Second Symphonies, Schoenberg questioned their *inner* coherence.⁴³ Schoenberg's hearing shows that in some respects the arrangement can be regarded as more Mahler's composition than Bach's.

In the next chapter I will investigate Mahler's compositional principle of polarity in one of his own works, *Kindertotenlieder*, another piece which reflects his intense study of Bach.

⁴² Arnold Schoenberg, "Attempt at a Diary," trans. Anita Luginbühl, *Journal of the Arnold Schoenberg Institute* 9 (1985), 27.

⁴³ La Grange, *Mahler, Vol. I* (Garden City, New York: Doubleday & Company, 1973), 690.

CHAPTER THREE:

Baroque Influences in *Kindertotenlieder*:

The Polarity of Contrapuntal and Homophonic Form

After composing his Fourth Symphony in 1900, Mahler became remarkably productive, writing “Der Tambourg’sell” on *Wunderhorn* texts, *Fünf Lieder nach Friedrich Rückert*, *Kindertotenlieder*, and symphonies 5-7. Mahler explained that the Fifth Symphony (1901-2) was a compositional turning-point: “It is clear that all the experience I had gained in writing the first four symphonies completely let me down in this one (the Fifth) – for a completely new style demanded a new technique.”¹

Mahler scholars have pointed out the characteristics of the new style in various ways:² a shift in his interest from the *Wunderhorn* texts with their folkish and dramatic features to literary, lyric poems by Rückert; the tendency to favor purely instrumental symphonic style such as that of the Fifth Symphony; new orchestral techniques and extended forms such as a scherzo or rondo-finale in the Fifth and Seventh Symphonies;³ and, finally, a concentrated and overt

¹ Mahler’s letter to Georg Göhler, written after the composer had finished the re-orchestration of the Fifth Symphony on 8 February 1911, in Mahler, *Selected Letters*, 372.

² Constantin Floros, *Gustav Mahler: The Symphonies*, trans. Vernon and Jutta Wicker (Portland, Oregon: Amadeus Press, 1993), 135-7; Redlich, *Bruckner and Mahler*, 198-210; Donald Mitchell, *Gustav Mahler, Vol. III, Songs and Symphonies of Life and Death* (Berkeley: University of California Press, 1985), 55-9.

³ Adorno, *Mahler*, 96-7; Arno Forchert, “Zur Auflösung traditioneller Formkategorien in der Musik um 1900,” *Archiv für Musikwissenschaft* 32/2 (1975), 85-98.

contrapuntal tendency.⁴

Polyphonic passages did exist in his earlier works, most particularly in the canonic third movement of the First Symphony and the first movement of the Fourth. In his conversation with Bauer-Lechner about the latter, Mahler complained:

I'm much more accustomed to such complex interweavings, since as far back as I can remember my musical thinking was never anything but polyphonic. But here I'm probably still suffering from lack of strict counterpoint, which every student who has been trained in it would use at this point with the greatest of ease.⁵

Perhaps the Fourth does suffer from a lack of strict counterpoint. But more crucially for this study, the contrapuntal passages in both earlier works have limited import with respect to the overall forms of their respective works.

In his new style, Mahler's contrapuntal skill did not suffer in any way. Counterpoint became not only the crux of his new musical language but also a newly conceived compositional resource – and one immediately realized. Indeed, Mahler opens the first song of *Kindertotenlieder* with the remarkable two-voice contrapuntal combination of oboe and horn. Unlike the surface counterpoint in the First and Fourth Symphonies, we shall see that the use of counterpoint in this first piece of *Kindertotenlieder* has profound compositional implications throughout the entire song. Ultimately, various contrapuntal strands shape the entire cycle.

⁴ The change in Mahler's style to the polyphonic tendencies of his middle period is commented on by most of Mahler's contemporaries: Specht, *Mahler*, 279, 290-1; Stefan, *Mahler*, 77-8; Adler, "Mahler," in *Mahler and Adler*, Mitchell, *Mahler*, Vol. II, 345-62; Reilly, *Mahler and Adler*, 53-5; Bekker, *Mahlers Sinfonien*, 175-8; and Redlich, *Bruckner and Mahler*, 158.

⁵ The full quotation is provided in Chapter I, pp. 13-4.

1. *Kindertotenlieder* and Baroque Form: The Current Literature

Scholars have dealt with many issues in *Kindertotenlieder*: a purity and simplicity of chamber ensemble-like orchestration, unadorned melody, strophic form, and thin polyphonic texture in the woodwinds. They do not hesitate to relate these new features to Bach's influence on Mahler. In particular, they approach the cycle by comparing it to the language of Baroque music.

Eggebrecht writes:

Indeed, there is a multitude of pitch constellations typical of Mahler, such as chromatic passages and twists and turns of [groups of] semitones which, the way Mahler uses them [his] focused, symbolically evocative manner within the scope of his poetic pathos, indubitably recall the vocabulary of figuration and the figurative thinking [evident] in Baroque music – and, in actual fact, in their appearance, [these figures] in Mahler's vocabulary are to a great extent identical to those figures and turns of expression used in the vocabulary of musical expression in the 19th century – for example, major-minor exchange, plagal cadence, sentence structure of perpetuum mobile, ostinato, tremolo, turn figure, chorale, funeral march, and *Ländler* idiom.⁶

Eggebrecht especially notes characteristic Baroque features in the fourth song of *Kindertotenlieder*, "Oft denk' ich," pointing out sequential processes, the turn figure (*Doppelschlagfigur*), and polyphony between the voice and instruments in contrary motion with a turn-figure melody and its inversion.⁷

⁶ Hans Heinrich Eggebrecht, *Die Musik Gustav Mahlers* (Munich: R. Piper & Co. Verlag, 1982), 72: Zwar erinnern zahlreiche für Mahler typische Tonkonstellationen, zum Beispiel chromatische Gänge und pathopoietische Halbtonwendungen, in der gezielt abbildlichen Weise, in der Mahler sie einsetzt, durchaus an das Figurenvokabular und das figürliche Denken der Barockmusik, und tatsächlich sind Mahlers Vokabeln dem Aussehen nach zu einem grossen Teil identisch mit Gebilden und Wendungen des Tonsprachevokabulars des 19. Jahrhunderts – zum Beispiel Dur-Moll-Wechsel, plagale Kadenz, Satzstruktur des Perpetuum mobile, Ostinato, Tremolo, Doppelschlagfigur, Choral-, Trauermarsch-, Ländleridiom.

⁷ *Ibid.*, 242-4. Kurt von Fischer wrote about the turn figure and its history, stating that it was a conventional embellishment in the late Baroque period, for instance in Bach's C# major fugue of the *Well-Tempered Klavier* and reapplied by many of the 19th-century composers. See his "Die Doppelschlagfigur in den zwei letzten Sätzen von Gustav Mahlers 9. Symphonie," *Archiv für*

Mitchell calls the orchestral prelude of the third song, "Wenn dein Mütterlein," "neo-classical" in tone, with the wind sound decisively colored by the English horn, an instrument used to great effect in the first song, "Nun will die Sonn'." He relates his description to Mahler's enthusiasm for Bach, here noting that the voice accompanied by "cool woodwind interweaving above a steady *pizzicato* ostinato bass reminds a listener of 'something of the gravity of Bach.'"⁸

Quoting Mitchell's idea, both Agawu and Schmierer identify Baroque techniques particularly in the cycle's strophic songs. Agawu alone calls the initial repeated counterpoint of the first song a "ritornello."⁹ In the same vein, Bass views the formal plan of the fifth song, "In diesem Wetter," as a Baroque concerto-aria. He notes that this resemblance is evident "not only in the traditional division into *tutti* and solo sections, but also in the character of the orchestral opening, which exhibits features typical of an initial ritornello, including a chain of well-marked motifs and a close on the tonic."¹⁰

Dargie connects the opening of the third song immediately to "the spirit of an 18th-century German chorale movement":

Over the steady crotchet movement in the bass the woodwinds weave flowing contrapuntal patterns: Mahler gives preference to the plaintive reedy sound of the oboe, English horn, and bassoon. The vocal melody, which begins at bar 8, has in spite of the singular shape of some of its

Musikwissenschaft 32 (1975), 101.

⁸ Mitchell, *Mahler*, Vol. III, 97.

⁹ V. Kofi Agawu, "Prolonged Counterpoint in Mahler" in *Mahler Studies*, ed. Stephen E. Hefling (Cambridge: Cambridge University Press, 1997), 217; Elisabeth Schmierer, *Die Orchesterlieder Gustav Mahlers* (Kassel: Bärenreiter, 1991), 224.

¹⁰ Edward C. Bass, "Counterpoint and Medium in Mahler's *Kindertotenlieder*," *Music Review* 50 (1989), 211.

lines, something of the simplicity of a chorale melody.¹¹

Odefey made the most extensive observations on the Baroque features in songs 1, 3, and 4 by comparing them to Bach's cantatas.¹² He begins by mentioning the characteristic inclination of linear polyphonic writing in both the first and third songs. Secondly, he cites in the third song the instrumentation used lower strings without violin – and compares this to the instrumental ensemble of Bach's cantatas BWV 18 and 106, which only use two flutes, two gambas, and basso continuo. Thirdly, he notes the similarity between the vocal melody and the soprano of Bach's chorale, "Herr, nun lass in Frieden," BWV 337. Finally, in the fourth song, "Oft denk' ich," he points out the parallel sixths in the English horns over the steady cello ostinato and lists many of Bach's works with similar textures, such as the duet of the oboe da caccia in Recitativo, "Er hat uns Allen Wohlgethan," in *St. Matthew Passion*, "Christe eleison" of *B minor Mass*, and arias and duets of many cantatas.

All the scholars mentioned above remind their readers of Mahler's preoccupation with Bach around 1901. I agree that there is a strong Baroque influence on this cycle, specifically in songs 3, 4, and 5, and especially 1, with its ritornello structure. None of the scholars above, however, mention the particular relationship of contrapuntal techniques to Mahler's penchant for polarity in tonal form. I contend that Mahler's interest in Bach's counterpoint at this point in his life produced works alternating homophony and counterpoint. The use of these opposing textures thus produced a new compositional resource in shaping tonal

¹¹ E. Mary Dargie, *Music and Poetry in the Songs of Gustav Mahler* (Bern: Peter Lang, 1981), 316-17.

¹² Odefey, *Kindertotenlieder*, 235, 285-6, 288, 308-09.

form.

In this chapter I will first describe different types of polarity shaping the tonal forms of *Kindertotenlieder*: polarities of meaning in the texts of each song and polarities in their settings. Such polarities within each song will be compared to the successive songs. Finally, the same issues will be considered in relation to the entire cycle.

2. Mahler and Rückert

Kindertotenlieder is removed from the popular mood of the previous song cycles. The new style's refined orchestration is strikingly spare, contrapuntal, and remarkably transparent in that each part is treated as a solo. Scholars have cited the stylistic difference in this cycle as a response to the text itself. As we shall see, the influence of Rückert's text on the new style seems one of the most essential issues about the "newness" of *Kindertotenlieder*.

Musicologist Peter Russell enumerates Mahler's motivations for writing the cycle by taking into account various scholarly responses:¹³ his sense of the presence of death and his Romantic addiction to the world of childhood and the child;¹⁴ the complexities of Mahler's character, which included a "need to suffer";¹⁵ a psychological compulsion in Mahler's harrowing childhood and his

¹³ Peter Russell, *Light in Battle with Darkness: Mahler's Kindertotenlieder* (Bern: Peter Lang, 1991), 4-7.

¹⁴ Burnett James, *The Music of Gustav Mahler* (Rutherford, New Jersey: Faileigh Dickinson University Press, 1985), 177.

¹⁵ Werner Oehlmann, *Reclams Liedführer* (Stuttgart: Reclam, 1973), 642.

own health crisis.¹⁶ In contrast, musicologist Edward F. Kravitt lists the relationship between Mahler and Fechner as one of the reasons for Mahler's choice of Rückert's texts. Jens Malte Fischer also examined Mahler's interest in Fechner and Rückert and identified it as the main point of Mahler's musical inspiration. He shows that the composer found in Rückert's and Fechner's texts resonances of his own ideas about the spiritual nature of the universe and the immortality of the human soul.¹⁷ Odefey as well as Fischer offers a more detailed and profound examination of the relationship of Mahler and his philosophy and provides documentary evidence which is most significant for the investigation.¹⁸

The first such document is Mahler's letter to Alma written in April, 1903 from Lvov, revealing the relations between Rückert and Fechner:

At intervals I read *Zend-Avesta* with engrossing interest; it comes home to me with the intimacy of what I have long known and seen and experienced myself. Remarkable how close in feeling Fechner is to Rückert: they are two nearly related people and one side of my nature is linked with them as a third. How few know anything of those two!¹⁹

Since this letter was written in 1903, it sheds no light on Mahler's acquaintance with Rückert, or why he specifically chose to set the poet's texts in 1901. However, the statement is important, for even two years after the composition of *Kindertotenlieder* Mahler still maintained that he had a kinship

¹⁶ Theodor Reik, *The Haunting Melody: Psychoanalytic Experiences in Life and Music* (New York: Grove Press, 1960), 313-20; Edward F. Kravitt, "Mahler's Dirges for his Death: February 24, 1901," *Musical Quarterly* 64 (1978), 329-53; Stuart Feder, "Gustav Mahler um Mitternacht," *International Review of Psycho-Analysis*, 7 (1980), 11-26.

¹⁷ Kravitt, "Mahler's Dirge," 333; Jens Malte Fischer, "Das klagende Lied von der Erde: Zu Mahlers Liedern und ihren Texten," *Zeitschrift für Literaturwissenschaft und Linguistik* 9 (1979), 55-69.

¹⁸ Alexander Odefey, *Gustav Mahler's Kindertotenlieder: Eine Semantische Analyse* (Frankfurt am Main: Peter Lang, 1999), 102-5; Fischer, "Das Klagende Lied," 62-6.

¹⁹ Alma Mahler, *Mahler*, 226.

with the poet-philosopher as strong as those he had with Goethe and Fechner. In 1905 Mahler said to Webern that:

After *Des Knaben Wunderhorn* I could not compose anything but Rückert – this is lyric poetry from the source, all else is lyric poetry of a derivative sort.²⁰

He was still engaged with Rückert's poetry in 1907 when he asked Alma to bring Rückert's poem to Maiernigg. Even as late as 1910 Mahler's own poems are reminiscent of the verses by Rückert.²¹

Friedrich Rückert was born in Bavaria in 1788 and studied Asian and Mideastern languages. In 1818 he met the Orientalist Joseph von Hammer-Purgstall in Vienna, who had earlier awakened Goethe's interest in the Persian poet Hafiz. Rückert published *Ghaselen*, a collection of pseudo-Oriental poems, some of them translated from the Persian in emulation of Goethe's style in his *West-Östlicher Divan*. He continued throughout his life to do translations and interpretations of oriental literature in Sanskrit, Arabic, Persian, Hebrew, and Chinese.²² In addition to Rückert's fascination with Orientalism and his admiration of Goethe, Odefey connects Rückert to Fechner, stating that Fechner quoted no fewer than 32 poems by Rückert to support the subjects in his books.²³ Fechner himself writes in his copy of the *Zend-Avesta*:²⁴

²⁰ Moldenhauer, *Anton von Webern*, 75-6.

²¹ Odefey, *Kindertotenlieder*, 103.

²² Helmut Prang, *Friedrich Rückert: Geist und Form der Sprache* (Schweinfurt: Selbstverlag der Stadt, 1963).

²³ Odefey, *Kindertotenlieder*, 205-6.

²⁴ Fechner explained in his Forward that he choose the title, *Zend-Avesta*, in conscious imitation of the old Persian *Zend-Avesta*, the holy literature of Mazdayasner, therefore the follower of the founder of the religion Zarathustra.

Amongst the newer poets, I know of none, who expressed the thought of a God who is alive and is at work in all individual spirits and in all of nature, more often, more beautifully and with the aura of a deeper conviction, than Rückert.²⁵

A document written by Mahler supports the idea of his being acquainted with Rückert through Fechner's disciple, Lipiner. A letter to Bruno Walter at the beginning of 1909, written from New York, provides evidence of Mahler's long relationship to Lipiner and the influence of Lipiner's philosophies of death on Mahler's thought.²⁶

I can't help thinking very often of Lipiner. Why don't you ever write anything about him? I should like to know whether he still thinks the same way about death as he did eight years ago, when he told me about his very peculiar views (at my somewhat importunate request – I was just convalescent after my hemorrhage).

Mahler thus looked for his spiritual assistance to Lipiner during the recovery from his illness at the beginning of 1901, and only few weeks before the composition of the first three *Kindertotenlieder*.

The following conclusions can be drawn from this documentary evidence: Mahler was acquainted with Rückert from the time of his steady friendship with Lipiner. And, indeed, Mahler's philosopher-friend undoubtedly knew an astonishing network of interrelations between Fechner, Goethe, and Rückert.

Russell noted that Rückert's *Kindertotenlieder* is a characteristic product of German Romanticism with its "saturation in imagery of nature."²⁷ To be sure,

²⁵ Gustav Theodor Fechner, *Zend-Avesta; oder, über die Dinge des Himmels und des Jenseits. Vom Standpunkt der Naturbetrachtung*, 2 Bände, 1. Aufl. (Leipzig, 1851), 2. Aufl. (Hamburg and Leipzig, 1903), Band 1, 303.

²⁶ Mahler, *Selected Letters*, 329.

²⁷ Russell, *Light in Battle*, 49.

in his *Kindertotenlieder*, Rückert looked to Nature, above all in plants and flowers, the song of birds, the buzzing of bees and butterflies – and all these images resonate with ideas of Goethe, Fechner, Lotze, and Reinke.²⁸ The contrasting imagery of light and dark is particularly striking and most likely reflects the influence of Goethe's *Farbenlehre*.

Rückert's collection, written in 1833–4 after the deaths of his two daughters, contains about 400 poems; Mahler selected five of them for his second song-cycle.²⁹ Fehn observed that the five poems occur at widely scattered intervals throughout Rückert's collection, and in a completely different order. Overall, Mahler's choices display "recurrent, mystical imagery of light and dark that is not uncommon in other poems of the collection, but is by no means as frequent as other images such as garden and flower metaphors."³⁰ Likewise, Holbrook observed that "the poems are all about light, seeing, and eye-beams, and they are always contrasted by the image of death and night."³¹ Both

²⁸ See Chapter 2, p. 50.

²⁹ The 1872 edition of *Kindertotenlieder* is divided into four sections: the first section, "Leid und Lied," contains 25 poems; the second, "Krankheit und Tod," 168 poems; the third, "Winter und Frühling," 66 poems; and the fourth, "Trost und Erhebung," 166 poems.

³⁰ Ann Clark Fehn, "Text and Music in Mahler's *Kindertotenlieder*," in *The Romantic Tradition: German Literature and Music in the Nineteenth-Century*, ed. Gerald Chapple, Frederick Hall, and Hans Schulte (Lanham: University Press of America, Inc., 1992), 363–6. She also pointed out that the third poem is rewritten by omitting a pun on the word "Schatten" that would have brought a distracting set of meanings to the light-dark imagery of the other poems in the cycle.

³¹ David Holbrook, *Gustav Mahler and the Courage to Be* (London: Vision Press, 1975), 18. The image of the 'eye' is extremely important in Fechner's conception of death. He sees the earth as a higher animate being than the human being and the human beings are to be imagined sense organs of the earth. If a single man of the animate earth serves as an eye, the eye closes itself as he dies to progress to a higher spiritual world of the memories in the soul of the earth. In the death a man forever closes the eye and his perceiving-life ceases with it, then a memory-life wakes up in the higher spirit. Thus the 'eye' can symbolize both death and passage to *Steigerung* up to the higher spiritual world. See Fischer, "Das klangende Lied von der Erde," 65–6.

commentators emphasized the prevalence of the antithesis of “night” and “light” common in these poems – and the dual imagery certainly suggests the musical polarities that, as we shall see, appear in Mahler’s setting. Certain scholars go so far as to claim that this polarity was exploited by Mahler in his use of parallel major and minor key areas.

Some commentators suggest that the dualities of *Kindertotenlieder* in fact produce a lack of unity in the cycle, which, they say, musically and structurally has neither the narrative nor evolutionary quality of Mahler’s earlier cycle, *Lieder eines fahrenden Gesellen*, nor of his later song-symphony, *Das Lied von der Erde*.³² However, still others counter that the songs’ texts are united as a whole through their common poetic subject and prevailing mood of grief, or perhaps stylistically through their innovative, transparent orchestration.³³ Mahler himself was concerned with the unity of the cycle, writing the following performance statement on the first page of the score:

These five songs are intended as a unified, inseparable whole, thus their continuity must be maintained (also by the suppression of disturbances, such as, for example, applause at the end of any one of the songs).³⁴

³² The matter of the different styles within the cycle might be connected to its problematic chronology. It is accepted by biographers that three songs of the *Kindertotenlieder* were composed in 1901, with two added in 1904. The question is which songs belong to which year. La Grange, Lewis, and Odefey place songs 1, 3, and 4 in 1901 and 2 and 5 in 1904; Mitchell and Kravitt, 1, 2, and 5 in 1901 and 3 and 4 in 1904; and Olmann and Vill, 1, 2, and 3 in 1901 and 4 and 5 in 1904. Since the style of songs 2 and 5 are totally different from the rest, I find La Grange, Lewis, and Odefey’s argument compelling. See La Grange, *Mahler*, Vol. 2, 827-8; Christopher O. Lewis, “On the Chronology of the *Kindertotenlieder*,” *Revue Mahler Review* 1 (1987), 21-45; Alexander Odefey, *Gustav Mahlers Kindertotenlieder*, 29-86; Mitchell, *Mahler Vol. III*, 57, 111-3; Edward Kravitt, “Mahler’s Dirge,” 346-7; Michael Olmanns, *Strophische Strucken im Werk Gustav Mahlers* (Pfaffenweiler: Centaurus-Verlagsgesellschaft, 1988), 303; Susanne Strasser-Vill, *Vermittlungsformen verbalisierter und musikalischer Inhalte in der Musik Gustav Mahlers* (Tutzing: Hans Schneider, 1979), 108-9.

³³ Michael Kennedy, *Mahler* (London: Dent, 1974), 112.

³⁴ Gustav Mahler, *Kindertotenlieder. Sämtliche Werke: Kritische Gesamtausgabe*, Vol. XIV, Part 3 (1979), 3.

However, this concern for unity did not stop him from using musical polarities as a compositional resource.

3. Rückert's Text and Oppositions

First, let us examine the dual imagery of the poems. The metaphors of "light" and "darkness" are not at all new for Mahler. They appear in "Urlicht," or Klopstock's "Auferstehung" in the Second Symphony, and another musical setting, Rückert's "Um Mitternacht," respectively.³⁵

The opening poem of *Kindertotenlieder*, "Nun will die Sonn' so hell aufgeh'n," is particularly rich in the dualistic image of darkness and light which serves as the basis of textual polarities. The ambivalence between personal anguish or loss and the gain of eternal light makes possible the carrying-out of an thesis-antithesis construction in Mahler's setting. The father's grief sets up the contrast between the permanence of nature's acts and the impermanence of the human condition.³⁶ With these contrasting ideas, the dynamic of an antithetical process comes into being. The contrasting images in each strophe are specifically juxtaposed by "sun" and "night," the "extinguishing of lamplight" and "eternal light" or "gladdening light of the world," and the words "alone" and "universal."

³⁵ Russell made a chart showing all kinds of metaphors related to "light" and "dark" in the first four poems of *Kindertotenlieder*. See his *Light in Battle with Darkness*, 66.

³⁶ La Grange noted that the theme is the same as that of the first song of the *Lieder eines fahrenden Gesellen*. See his *Mahler*. Vol. 2, 833.

Diagram 1 (contrast highlighted in bold)³⁷

Nun will **die Sonn'** so hell aufgeh'n
 Als sei kein Unglück **die Nacht** gescheh'n!

Now **the sun** is about to rise as brightly
 As if no misfortune had happened in the
night

Das Unglück geschah nur mir **allein!**

The misfortune moreover happened to me
alone!

Die Sonne, sie **scheinet allgemein.**

The sun, it **shines for all alike!**

Du musst nicht **die Nacht** in dir verschränken,
 Musst sie ins ew'ge **Licht** versenken!

You must not enfold **the night** within you;
 You must drown it in **the eternal light!**

Ein **Lämplein** verlosch in meinen Zelt!
 Heil! Heil sei dem **Freudenlicht** der Welt.

A little **lamp** went out in my tent!
 Hail! Hail to the **gladdening light** of the
world!

The second poem, "Nun seh' ich wohl, warum so dunkle Flammen," has imagery of light and dark symbolized by "dark flames," "mist" and "ray," "day" and "night." The poem contains many images of visionary seeing rather than simply light: the "eye," "look," or "blinding." All these images are closely related to the idea of light, which always flows from a source, its "home." The notion of return to divine origins is the philosophical message here. It is emphasized by "return home" and "the rejoining in future night," as "eyes" are transfigured and become "stars" (also one of Fechner's concepts).³⁸

³⁷ The German texts in these diagrams are Mahler's texts with his alteration for musical setting. Russell's translation was used for the English texts. For a discussion of Mahler's changes to the poems, see Russell, *Light in Battle*, 68-102; Fehn, "Text and Music," 364; Kravitt, "Mahler's Dirge," 335-47; and Strasser-Vill, *Vermittlungsformen*, 108-22.

³⁸ See footnote 31.

Diagram 2

Nun seh' ich wohl, warum so dunkle Flammen	Now I can see why such dark flames
Ihr sprühtet mir in manchem Augenblicke.	You flashed at me at many a moment,
O Augen! O Augen! Gleichsam, um voll	O eyes! As if into a single look
in einem Blicke	
Zu drängen eure ganze Macht zusammen.	To concentrate your whole power.
Dort ähnt' ich nicht, weil Nebel mich	But I could not guess, because mists
umschwammen,	shrouded me
Gewoben vom verblendenden Geschicke,	Woven by blinding destiny,
Dass sich der Strahl bereits zur Heimkehr	That ray was already preparing to return home
schicke	
Dorthin, von wannen alle Strahlen stammen.	To the place from which all rays originate.
Ihr wollet mir mit eurem Leuchten sagen:	You wanted with your shining to say to me:
Wir möchten nah dir immer bleiben gerne,	We would dearly like to stay near you,
Doch ist uns das vom Schicksal abgeschlagen.	But that is denied us by fate.
Sieh' recht uns an! Denn bald sind wir dir ferne.	Look at us well, for soon we shall be far from you!
Was dir nur Augen sind in diesen Tagen ,	What are only eyes to you in these days
In künft'gen Nächten sind es dir nur Sterne.	In future nights will be but stars to you.

In the third poem, "Wenn dein Mütterlein," Mahler reordered Rückert's work: Mahler's version begins with the second stanza of the poem, omitting the last three lines; Mahler's second stanza begins with the first half of Rückert's first stanza. The omitted lines of stanza two push the climax of the poem to the end of the poem.³⁹ The father's gaze falls on empty space in the doorway where his daughter's face used to be, and he realizes her absence. The altered last three lines of the poem consist of the father's lament about the past and the present. The

³⁹ See more detail of Mahler's alteration of texts in Russell, *Light in Battle*, 84-5; Strasser-Vill, *Vermittlungsformen*, 114-7.

contrast in this poem is built in between the “bright with joy” of the children and “the shimmering candle” or “too quickly extinguished gladdening light.” The poem recalls the first and second songs with its references to “gladdening light” or “candle” (lamplight) and images of “glance” and “seeing,” respectively.

Diagram 3

Wenn dein Mütterlein
Tritt zur Tür herein,
Und den Kopf ich drehe,
Ihr entgegen sehe,
Fällt auf ihr Gesicht
Erst der Blick mir nicht,
Sondern auf die Stelle,
Näher, näher nach der Schwelle,
Dort, dort, wo wurde dein
Lieb' Gesichtchen sein,
Wenn du freudenhelle
Trätest mit herein,
Trätest mit herein,
Wie sonst, mein Töchterlein!

When your mother
Comes in through the door
And I turn my head
And look towards her,
My glance falls first
Not on her face
But on that place
Nearest the threshold,
There, where your
Dear little face would be
If you, bright with joy,
Were coming in with her,
Were coming in with her,
As you used to, my daughter!

Wenn dein Mütterlein
Tritt zur Tür herein,
Mit der Kerze Schimmer,
Ist es mir, als immer,
Kämst du mit herein,
Huschtest hinterdrein,
Als wie sonst ins Zimmer!
O du, o du des Vaters Zelle,
Ach, zu schnelle, zu schnell
Erlösch'ner Freudenschein,
Erlösch'ner Freudenschein!

When your mother
Comes in through the door
With the shimmering of the candle,
It seems to me always as if
You were coming in with her,
Slipping in behind her
Into the room as you used to!
Oh you, the gladdening light
Of your father's cell,
Alas, too quickly extinguished!

In the fourth poem, “Oft denk’ ich, sie sind nur ausgegangen,” the father tries to come to terms with death by denying its finality – the children are only living in heaven. Here the polarity is not formed by the imagery of light and dark but instead by the “home in this world” and “the heavenly home.” As Russell has pointed out, the image of “gone out” (ausgegangen) in the first and second stanzas is transformed into “go ahead” (vorausgegangen) in the third and fourth.⁴⁰ The poem has a gradually changing dynamic throughout its three stanzas, and the confirmation of the parents’ joy at rejoining with their children at death is clearly presented in the last two lines of the poem: “We will catch up with them on those heights in the sunshine!” The positive mood is ultimately reinforced by key – the fourth song is the only song of the cycle composed in a major mode, Eb, the relative major of the preceding C minor.

Diagram 4

Oft denk’ ich, sie sind nur **ausgegangen**,
Bald werden sie wieder nach Haus gelangen,
Der Tag ist schön, o sei nicht bang,
Sie machen nur einen **weitem Gang**.

I often think they have only **gone out**,
Soon they will get back home!
The day is fine! Oh do not be afraid!
They are **just going out for a long walk**.

Jawohl, sie sind nur **ausgegangen**,
Und werden jetzt nach Haus gelangen,
O sei nicht bang, **der Tag ist schön**,
Sie machen **den Gang zu jenen Höh’n**.

Yes indeed, they have only **gone out**
And now they will be reaching home!
Oh do not be afraid, **the day is fine!**
They are only **taking a walk to those heights!**

Sie sind uns nur **vorausgegangen**,
Und werden nicht hier nach Haus verlangen,
Wir holen sie **ein auf jenen Höh’n**
Im Sonnenschein, der Tag ist schön.

They have only **gone on ahead of us**
And will not want to come home again!
We will catch up with them **on those heights**
In the sunshine! The day is fine.

⁴⁰ Russell, *Light in Battle*, 92.

However, in the fifth poem, “In diesem Wetter, in diesem Braus,” the optimistic mood of the “fine day” in the preceding song suddenly changes to that of darkness, the storm. Here the polarity between songs in the cycle is emphasized: contrast between the stormy weather in this poem and the shining sun in “die Sonn’ so hell aufgeh’n (the sun is about to rise)” and “die Sonne scheint allgemein (the sun shines for all alike)” in the first song, and “Der Tag ist schön” (the day is fine) and “auf jenen Höh’n im Sonnenschein” (on those lights in the sunshine) in the fourth song.

Mahler’s idea of ordering the poems for the entire cycle in the context of such polarity becomes clear in the fifth song, which should be seen as the culmination of the cycle. In contrast to the optimistic mood of the fourth song, with its hopeful text in the major key, the Wagnerian orchestration of “In diesem Wetter” expresses the “raging,” “rushing,” “horror,” and “stormy” weather. Here Mahler created his most extreme contrast and polarity in the cycle.⁴¹

The stormy scene is not presented in strophic form but instead in repeated thematic variations enhanced by chromatic effects. In this light the greatest contrast within the poem occurs from the middle of the fourth stanza: “They have only gone out” (song 4) is replaced by “They have been carried out.” The fifth poem also shows a gradual change of images: from they “might fall ill” to “might die tomorrow” or “rest in their mother’s house.” In conclusion, the major setting of “their mother’s house” portrays the father’s resigned acceptance of the

⁴¹ Mitchell noted the “manipulation of orchestral sound, from the woodwind duet that opens the first song to the relatively full orchestra that the cycle gradually assembles throughout its course,” and considered the opening stormy scene of the last song as the culmination of the cycle. See his *Mahler, Vol. III*, 91.

children's death.⁴²

Diagram 5

In diesem Wetter, in diesem Braus,
Nie hätt' ich gesendet die Kinder hinaus'
Man hat sie getragen, getragen hinaus'
Ich durfte nichts dazu sagen.

In this weather, in this raging,
I would never have sent the children out
They have been carried out;
I was not allowed to say anything about it

In diesem Wetter, In diesem Saus,
Nie hätt' ich gelassen die Kinder hinaus,
Ich fürchtete, sie erkrankten;
Das ist nun eitle Gedanken.

In this weather, in this rushing,
I would never have let the children go out.
I would be afraid they might fall ill;
Those are now idle thoughts.

In diesem Wetter, in diesem Graus,
Nie hätt' ich gelassen die Kinder hinaus.
Ich sorgte, sie stürben morgen,
Das ist nun nicht zu besorgen.

In this weather, in this horror,
I would never have let the children go out.
I would worry they might die tomorrow;
Now that is no cause for worry.

In diesem Wetter, in diesem Graus!
Nie hätt' ich gesendet die Kinder hinaus.
Man hat hinaus getragen,
Ich durfte nichts dazu sagen!

In this weather, in this horror!
I would never have sent the children out.
They have been carried out;
I was not allowed to say anything about it!

In diesem Wetter, in diesem Saus,
In diesem Braus,
Sie ruh'n, sie ruh'n
Als wie in der Mutter,
Der Mutter Haus.
Von keinem Sturm erschreckt,
Von Gottes Hand bedeckt,
Sie ruh'n, sie ruh'n

In this weather, in this rushing,
In this raging,
They rest
As though in their mother,
[In] Their mother's house.
Frightened by no storm,
Covered by God's hand
They rest

⁴² Kravitt pointed out the symbolism of the mother's "house" in the fifth poem, noting that Mahler had once replaced the word "Haus" (house) with "Schoss" (womb). He believes that Mahler intended to show the idea of "returning," with which Mahler had been so deeply absorbed, symbolizing the "rebirth" of the children with this word. See his "Mahler's Dirge," 335-9.

**Wie in der Mutter Haus,
Wie in der Mutter Haus!**

**As in their mother
Their Mother's house!**

As Fehn suggests, the dual images, which create many levels of polarities and contrasts in the poems, might be the most fundamental reason why Mahler choose these five songs for his cycle.⁴³ Other scholars cite the various kinds of musical language which I read as reflecting the text's polarities: Mahler's characteristic major-minor fluctuations;⁴⁴ symbolic musical paintings such as sunrise portrayed conversely by a descending melodic line;⁴⁵ motivic symbolism attributing significant meaning to every fragmented or divided motive;⁴⁶ the special symbolism of instrumentation such as glockenspiel or celesta to create contrast between "light" and "agony";⁴⁷ the specific effect of cadences such as the six-four chord approached by a German sixth;⁴⁸ and, most crucially, orchestral alternations and effects.⁴⁹

Let us now explore Mahler's interest in counterpoint as a compositional resource for creating his tonal forms.

4. Counterpoint and Homophony, and Poetic Oppositions

⁴³ Fehn, "Mahler's *Kindertotenlieder*, 364.

⁴⁴ Fehn, "Mahler's *Kindertotenlieder*," 365-6; Mitchell, *Mahler, Vol. III*, 75-7.

⁴⁵ Kravitt, "Mahler's *Dirge*," 342-6.

⁴⁶ Eggebrecht, *Die Musik Gustav Mahlers*, 36-8.

⁴⁷ Mitchell, *Mahler, Vol. III*, 78-83; Floros, *Mahler, Vol. II: Mahler und die Symphonik des 19. Jahrhunderts in neuer Deutung*, 321; Stefan, *Mahler*, 90.

⁴⁸ Agawu, "Kindertotenlieder No. 2," 81-93.

⁴⁹ Russell, *Light in Battle*, 68-112; Mitchell, *Mahler, Vol. III*, 74-108; Dargie, *Music and Poetry*, 313-6.

(1) "Nun will die Sonn' so hell aufgeh'n"

Level I: Polarities in key and formal units

The first song, "Nun will die Sonn' so hell aufgeh'n," consists of four rhymed couplets and is set in strophic form with a refrain at the beginning of each stanza. **Diagram 6** shows the structural relationship between the poem and the musical content of its setting, designated by X, Y, and Z.

Diagram 6

Refrain	X1	D major/minor
A Nun will die Sonn' so hell aufgeh'n	Y1+Y'1	D minor
als sei kein Unglück die Nacht gescheh'n!	Z1	D major
Refrain	X2	
A Das Unglück geschah nur mir allein!	Y2+Y'2	
Die Sonne, sie scheint allgemein.	Z2+Z'2	
Refrain	X3	
B Du musst nicht die Nacht in dir verschränken,	Y3+Y'3	
musst sie ins ew'ge Licht versenken!	Z3+Z'3	D major-minor
Refrain	X4	
A' Ein Lämplein verlosch in meinen Zelt!	Y4+Y'4	
Heil! Heil sei dem Freudenlicht der Welt.	Z4+Z'4	D major-minor

As shown in **Diagram 6**, the poem has four stanzas and the setting of each strophe consists of three melodic phrases (X, Y, and Z), which recur in the refrain and in two poetic lines, respectively. The main polarity found in **Diagram 6** is between A and B. The climactic B contains the tonal and motivic development of material initially found in A.

Level II: Polarity in counterpoint and homophony in formal units

Within each strophe textural contrast is found: the first phrase (X) contains the introduction of the vocal line in contrapuntal combination, the second phrase Y, (line 1) is followed by instrumental imitation (Y') in free counterpoint, and the third phrase Z, (line 2) and its motivic variation is followed by the instrumental repetition of the third phrase Z' in homophonic texture.

The polyphonic X and Y form the transparent two-part counterpoint in the woodwinds or in the voice and woodwinds; the homophonic Z has relatively rich orchestration with the strings, harp, and glockenspiel in addition to the woodwinds. While the former consists of very stark lines, the latter has a chordal accompaniment with rocking figures, pedal points, and octave doublings. Furthermore, the polyphonic natures of X and Y are also distinguished by contrapuntal combination rather than free counterpoint (see **Examples 1, 2, and 3**).

The contrast produced by the *polyphonic* and *homophonic* textures, recurring equally in each strophe, creates a level of polarity which is reinforced by the higher-level mode-shift from D minor to D major between Y and Z, respectively.

Contrapuntal combination: a definition for this thesis

In this thesis, I use several terms to describe Mahler's counterpoint:

1) Contrapuntal combination:

Contrapuntal combination is Schoenberg's term for the theme or "point of departure" or "basic shape" whose varied repetition generates the form of a contrapuntal work (see Webern in Chapter 1, p. 17). In the contrapuntal piece

“there is a basic combination which is the source of all combinations.”⁵⁰ This combination constitutes at least two lines such as the subject and countersubject of a fugue that are often variable through invertible counterpoint. The combination always contains a motivic content that remains basically the same throughout the work: “[Combinations] differ greatly from one another in the total sound but differ very little from one another in thematic [or motivic] content, because the same voices, after all, make up the harmonies.”⁵¹ Variation is achieved by a “disassembling and reassembling” of the basic combination:

A basic configuration...taken asunder and reassembled in a different order contains everything, which will later produce a different sound than that of the original formulation. Thus, a canon of two or more voices can be written in one single line, yet furnishes various sounds. If multiple counterpoints are applied, a combination of three voices, invertible in the octave, tenth, and twelfth, offers so many combinations that even longer pieces can be derived from it.⁵²

2) Strict contrapuntal combination:

The varying of a basic combination in such a way, that the vertical and horizontal relations of either pitch or time are predictable through a given operation: e. g. the variations of a combination through invertible counterpoint, diminution, augmentation, or retrograde.

The term “strict” here refers to the preservation of the relations of a basic combination, e.g. the repetition of the combination in invertible

⁵⁰ Schoenberg, “New Music, My Music, Style and Idea,” in *Style and Idea*, 397.

⁵¹ Schoenberg, *The Musical Idea*, eds. and trans. Patricia Carpenter and Severine Neff (New York: Columbia University Press, 1995), 110-111.

⁵² Schoenberg, *Style and Idea*, 397.

counterpoint at the octave. The term “strict” does not refer to specific issues of consonance and dissonance.

3) Free imitative counterpoint:

Point of imitation or canon, that does not form a contrapuntal combination. Such instances of imitative counterpoint or canon are not used in invertible counterpoint.

The term “free” refers to the fact that the structural relationship in question does not refer to a specific combination. The description, “free,” does not deal with specific issues of consonance or dissonance.

The contrapuntal combinations of the refrain

X is altered by the shifting and changing lines of the contrapuntal combinations, while the homophonic Z and Z' are simply melodically and motivically varied. The developmental procedure of X seems to offer the best example of the overall dynamic of the song's tonal form (Example 1).

As mentioned above, X consists of two sequential fragments and a cadential figure. Whenever it recurs, the combination is varied either by omitting the first sequential figure, causing the lengthening of the cadence (X2 and X3), or by overlapping the modified X and its transposed version (X4). In contrast to the self-contained structure of X1 as an introduction, X2 and X3 imply a moving state of starting in the middle of the phrase and eliding respective endings with the next

phrase.⁵³ The relatively unchanging natures of the vocal lines, Y and Z, finally come to a developmental stage where Z2 and X3 are elided (mm. 32-41).⁵⁴

Example 1: The Four Statements of X in Song 1

The musical score consists of four systems, labeled x1, x2, x3, and x4. Each system contains two staves: the top staff is for the oboe (ob.) and the bottom staff is for the horn (hn.).

- System x1:** The oboe part begins with a melodic line, and the horn part provides a harmonic accompaniment.
- System x2:** The oboe part continues the melodic line, and the horn part provides a harmonic accompaniment.
- System x3:** The oboe part continues the melodic line, and the horn part provides a harmonic accompaniment.
- System x4:** The oboe part features a complex rhythmic pattern indicated by numbers 6, 6, 6, 6, 6, 6, 6, 8, 2, 6, 4, 4, 3, 3. The horn part provides a harmonic accompaniment.

⁵³ Elisabeth Schmierer remarks that X2 has already prepared us for the “*Steigerung*” or uplifting mood of X3, by beginning at the second sequence of X1, followed by another sequence which changes the cadential figure to the ‘*Fortspinnungsfigur*’ with its memorable eighth notes. *Orchesterlieder*, 218.

⁵⁴ Both Mitchell and Schmierer base their claims for the cycle’s symphonic organization on the development section and the recapitulation of the materials in the first strophe. See Mitchell, *Mahler, Vol. II*, 45; Schmierer, *Orchesterlieder*, 212-7.

X4 returns to its initial material, but the eighth-note figure in X3, which developed throughout the third strophe, continues up to the entrance of X4 in the flute, to serve as an upper counterpoint to the transposed oboe theme X. The two-part contrapuntal combination of the oboe and horn transforms itself into the invertible counterpoint in the flute and oboe. However, in the flute counterpoint, despite the rhythmic alteration, the pitch contour is exactly the same as X1 in the higher octave. Thus the transposed oboe line forms the parallel motion in sixths with theme X. The inverted counterpoint allows the fourth refrain, X4, to function both as the postlude of the culminating third strophe and the prelude to the final strophe, anticipating the “gladding light of the world.”

Free contrapuntal texture in the first vocal line Y

The vocal line begins with Y, a diatonic descending melody which outlines a diminished fifth (Bb to E), and is imitated by the instrumental Y'. Thus Y' is introduced as an echo of Y in shorter-note value.

Example 2: The Four Statements of Y' in Song 1

The musical score consists of four systems, each representing a statement of Y'.

- Y'1:** A single staff in treble clef, labeled 'ob.' and '9'. It contains a melodic line of eighth and sixteenth notes.
- Y'2:** A two-staff system. The top staff is labeled 'ob.' and '28'. The bottom staff is labeled 'cl.' and contains a melodic line. The two staves are connected by a brace on the left.
- Y'3:** A single staff in treble clef, labeled 'ob.' and '48'. It contains a melodic line with lyrics underneath: "Du mußt nicht die Na - ch - t in dir ver - schrän - ken,". The staff is connected to the previous system by a brace on the left.
- Y'4:** A two-staff system. The top staff is labeled 'hn.' and '72'. The bottom staff is labeled 'ba.' and contains a melodic line. The two staves are connected by a brace on the left. The lyrics "nem - Zelt!" are written under the top staff.

After the completion of the first vocal line, Y'1 is played in the oboe alone and is ultimately imitated by the clarinet in Y'2. Y'3 occurs in the oboe and is simultaneously sounded with the vocal line, since Y3 was introduced by the instruments instead of voice. The vocal counterpoint is built with the inverted form of Y', so that the two lines create the strong contrary motion leading to the song's climax of "eternal light." Y'4 appears as a syncopated figure and overlaps with the counterpoint at the end of Y4.

The contrasting homophonic texture of the second vocal line Z

The homophonic texture accompanying the second vocal line Z is only slightly varied in each restatement. It is in strong contrast to the unstable, constantly moving Y: it emphasizes the affirmative side of the poem with soft sounds of strings and harp, the tonal stability produced by the pedal point on D and A, and the chordal accompaniment.⁵⁵

Example 3: Z1 in Song 1

2

Ob.

Cl. b. (B)

Fg.

Cor. (F)

Arp.

Voc

Vln.

Vcl.

1

pp

mit verhüllter Stimme

hell auf-geh'n, als sei kein Unglück, kein

pp

10

⁵⁵ Schmieder noted that the ambivalence based on the character of the first song only opens that of the entire cycle. Thus the song does not appear affirmative and remains unresolved. See Schmieder, *Die Orchesterlieder*, 224; also see Adorno, *Mahler*, 136-8, for Mahler's aesthetics of affirmation.

Summary

Opposing images in this poem seem to be the fundamental issue in Mahler's setting. *Polyphonic* writing represents personal loss, and *homophonic*, the hope of eternal life. These polarities of texture and form are also reflected in the dark/light imagery of the woodwind/string contrast, the alternations of timbre and texture in the orchestration, and the major/minor vacillation in the song's monotonal design. Within the polyphonic sections, contrast is provided by the strict and free counterpoint: X, written in the strict contrapuntal combination, develops through changes of vertical structure, by inverted counterpoint, or by the changes in the texture generated by imitation or contour; meanwhile, Y, in free counterpoint, develops imitatively. The following **Diagram 7** provides proportions of polyphonic and homophonic sections showing how Mahler measured each section in the first song of the cycle.

Diagram 7: Proportions of Textural Contrast in Counterpoint and Homophony

Strophe	Contrapuntal		Homophonic
I	Strict	mm. 1-4 (4)	mm. 11-21 (11)
	Free	mm. 5-10 (6)	
		(10)	
II	Strict	mm. 22-4 (3)	mm. 32-41 (10)
	Free	mm. 25-31 (7)	
		(10)	
III	Strict	mm. 41-3 (3)	mm. 52-63 (12)
	Free	mm. 44-51 (8)	
		(11)	
IV	Strict	mm. 64-7 (4)	mm. 74-85 (12)
	Free	mm. 68-73 (6)	
		(10)	
Total		(41)	(45)

The proportion of polyphonic sections can be broken down into strict and free contrapuntal texture, yielding the ratios 4:6, 3:7, or 3:8. These polyphonic sections are quite equally balanced with the *homophonic* sections in

the ratio of 41: 45. In this respect the polarities between strict and free polyphonic writing and between polyphony and homophony are well-proportioned for creating the notion of duality. Mahler thus employed these diverse levels of polarity not only for describing the dual-images of the text but also for creating an alternating dynamic of development and formal shape.

(2) "Nun seh' ich wohl, warum so dunkle Flammen"

Level I: Polarities in key and formal units

The second song, "Nun seh' ich wohl," consists of two four-line strophes and two three-line strophes. To create balance, Mahler inserted an extra line for the orchestra alone in the third and fourth strophes. The song's through-composed procedures traverse several tonal regions and are varied in tempo and meter.

Diagram 8

Prelude	a	
1 Nun seh' ich wohl, warum so dunkle Flammen	X	Eb major
2 Ihr sprühtet mir in manchem Augenblicke.		
3 O Augen! O Augen! Gleichsam, um voll in einem Blicke	X'	C major
4 Zu drängen eure ganze Macht zusammen.		
5 Dort ähnt' ich nicht, weil Nebel mich umschwammen,	X''	Eb major
6 Gewoben vom verblendenden Geschicke,	X'	E major
7 Dass sich der Strahl bereits zur Heimkehr schicke	Y	C major
8 Dorthin, von wannen alle Strahlen stammen.		
Interlude	a	

9	Ihr wollet mir mit eurem Leuchten sagen:	Z	B minor
10	Wir möchten nah dir immer bleiben gerne,		
	Interlude	a	
11	Doch ist uns das vom Schicksal abgeschlagen.	X	
12	Sieh' recht uns an! Denn bald sind wir dir ferne.	X'	Db-C major
13	Was dir nur Augen sind in diesen Tagen,	Y	C major
14	In künft'gen Nächten sind es dir nur Sterne.		
	Postlude	a	C minor

The style of the second song differs considerably from that of the first, with little employment of contrapuntal and homophonic alteration. The form is strophic with short refrains between strophes; it is formally divided into two large sections, each of which consists of X and Y, with the insertion of the elaborated motive a at lines 9-10, a passage identified as Z in **Diagram 8**. The two elements X and Y are both homophonic. They are derived from the prelude, which introduces the essential motive of this song, the ascending tetrachord figure (a). Its development follows the theme of this poem, "Return to the place from which all rays originate."

The literary theme of this poem is not focused on polarity as much as was the first song. What Mahler intended to express here seems to emanate from the image of the "ray" or "Strahl." Any expression of polarity is thus confined to local emphasis of the specific words such as "Flammen" (flames), "Augen" (eyes), "umschwammen" (shroud), etc., by means of expressive dissonances such as the appoggiatura. Another way of highlighting the words is, as Agawu remarked, through the cadential gesture of the German sixth to I 6/4 – a technique

used for “Strahlen” (ray), “Leuchten” (shining), and “Sterne” (stars).⁵⁶

Polarities in tonal structure

A formal polarity in the second song can be found in the interplay of major and minor and the duality of C major/minor and Eb major. The polarity between Eb major and C major also appears locally in each strophe: whenever the key words “look” (Blicke), “ray” (Strahl) or “eye” (Augen) occur, the song turns to C major. This technique can be seen also in virtually all of Mahler’s earlier works.

Motivic development

Mahler emphasized the idea of the “rays” and “transfiguration” through the developing idea of the motivic cell of the opening. The tetrachord motive a of the ascending fourth develops in many ways through rhythmic and melodic variations. All X variations have motive a in the primal shape in common except X”, which has the new material at its beginning.

⁵⁶ Agawu, “The Musical Language,” 83-4.

Example 4: The Motivic Development of the Prelude in Song 2

Prelude 

X
line
(1-2) 


O Au - gen O Au - gen

X
(3-4) 

X
(5-6) 

Y
(7-8) 


in

Z
(9-10) 

X
(11) 

X
(12) 

Y
(13-14) 


in künft' - - gen


Näch - - - ten sind es dir nur Ster - - - ne.

Summary

The second song has a unique polarity of tonal structure and continuous motivic development in each strophe. The song has a consistent homophonic texture, emphasized by the harmonic arpeggio of the harp. The contrapuntal treatment only briefly occurs at mm. 26-8, 33-6, 50-1, 56-7, 65-6 as a local imitation of the oboe and vocal lines. In short, the work is more akin to Mahler's earlier works.

Diagram 9: Proportions of textural contrast in counterpoint and homophony

Strophe	Contrapuntal	Homophonic
I		mm. 1-21 (21)
II	mm. 26-8; 33-6 (7)	mm. 22-5; 29-32 (8)
III	mm. 50-1 (2)	mm. 37-49 (13)
IV	mm. 56-7; 65-6 (4)	mm. 54-5; 58-64; 67-74 (17)
Total	(13)	(59)

(3) "Wenn dein Mütterlein"

Along with the first song, the third, "Wenn dein Mütterlein," clearly shows the influence of Bach in its melodic and rhythmic figures, its form, and its

orchestral texture. As Dargie has pointed out, the opening prelude and the simple, vocal melody recalls “an eighteenth-century German chorale movement: over the steady crochet movement in the bass the woodwind weave flowing contrapuntal patterns.”⁵⁷

Level I: Polarities in key and formal units

The poem consists of two parallel stanzas, and the musical setting reflects this textual symmetry. This poem is written in the most visually descriptive ways, and the music matches it. Each stanza can be divided into three stages of the father’s consciousness: the father’s watching for his wife’s entrance; the father’s glance to look for his child; and the father’s realization of his daughter’s absence.

Diagram 10

Ist Stanza	2nd Stanza		
Prelude	Interlude	X	Cminor
Wenn dein Mütterlein	Wenn dein Mütterlein	X	
Tritt zur Tür herein,	Tritt zur Tür herein,		
Und den Kopf ich drehe,	Mit der Kerze Schimmer,		
Ihr entgegen sehe,	Ist es mir, als immer,		
Fällt auf ihr Gesicht	Kämst du mit herein,	X'	Gmajor
Erst der Blick mir nicht,	Huschtest hinterdrein,		
Sondern auf die Stelle,	Als wie sonst ins Zimmer!		Dbmajor

⁵⁷ Dargie, *Music and Poetry*, 316-7.

Näher, näher nach du, der Schwelle,	O du, o du des Vaters Zelle,	Y	
Dort, dort, wo wurde dein Lieb' Gesichtchen sein,	Ach, zu schnelle, zu schnell, Erlosch'ner Freudenschein,		
Wenn du freudenhelle Trätest mit herein,	Erlosch'ner Freudenschein!		Cminor (Np)
Trätest mit herein, Wie sonst, mein Töchterlein!			(V)
Postlude		X	Cminor

As shown in **Diagram 10**, the polarity between “what used to be” and “what would no longer exist” is vividly described. The two elements of its musical form, X and Y, correspond to the stages of the text with X and Y as the main polarity and X' as a transition. In addition to the orchestral alternation, the song is monotonal, as are the first two songs in the cycle. While the first song provides polarity by means of major-minor fluctuation, the third song traverses the regions of **D** and **Np**: while region **D** is anticipated in the beginning of the prelude and realized by the transposition of the initial vocal motive, **Np** is drawn from the frequent use of the pitch Db when the father senses his daughter's absence.

Level II: Polarity in contrapuntal and homophonic texture in formal units

Within each strophe Mahler uses entirely contrasting textures.

Example 5: Textural Alternations of X and Y in Song 3

X

26 Fließender

Fl.

Ob.

C. ing.

Cl. b. (B)

Fg.

Arp.

Voc.

Vcl.

Wenn dein Mütterlein tritt zur Tür herein,

Ob.

Cl. b. (B)

Fg.

Arp.

Voc.

Vcl.

und den Kopf sich dre - he für entgegen se - he,

10 15

Y

Fl.

C. ing.

Cl. (B)

Cl. b. (B)

Fg.

Cor. (F)

Voce

sondern auf die Stel-le, nä-her, nä-her nach der Schwelle, dort,

Vcl.

con sord.

pp impr.

20

Fl.

C. ing.

Cl. (B)

Cl. b. (B)

Fg.

Voce

nicht allein

dort, wo würde dein Lieb' Gesichtchen sein, wenn du freu - don-hei-le

Vla.

Vcl.

pp impr.

Cb.

25

In earlier representations of X, he applied a Baroque sound characterized by the contrapuntal dialogue of the woodwinds with *pizzicato* lower strings and a low and simple melodic line; for the presentation of Y, he used a homophonic and

declamatory sonority with octave doublings in the cello and flute.⁵⁸ A peculiarity in the latter is the lower register of the flute expressing the father's moan (see **Example 5, Y**).

Summary

The third song focuses on the alternation of homophonic and contrapuntal texture to articulate its form. The following **Diagram 11** shows the proportions of the contrasting two textures.

Diagram 11: Proportions of Textural Contrast in Counterpoint and Homophony

Strophe	Contrapuntal	Homophonic
Prelude	mm. 1-8 ⑨	
I	mm. 10-8 ⑨	mm. 19-32 ⑭
Interlude	mm. 33-9 ⑦	
II	mm. 40-9 ⑩	mm. 50-64 ⑮
Postlude	mm. 65-70 ⑥	
Total		④① ②⑨

In general, this song and the first one are in strong contrast to the second.

⁵⁸ Both Mitchell and Russell noted the contrasts of "alternate orchestras" in the first and third songs. Mitchell, *Mahler Vol. III*, 97-100, 139; Russell, *Light in Battle*, 69-71, 85.

Their contrapuntal-harmonic textures differ greatly from the homophonic second song. The homophony of song two and the prevalence of counterpoint in the third suggest a homophonic-contrapuntal alternation at a very high level in the cycle.

(4) “Oft denk’ ich, sie sind nur ausgegangen”

The fourth song, “Oft denk’ ich, sie sind nur ausgegangen,” is the only one of the cycle in a major mode.

Level I: Polarities in key and formal units

The poem consists of three stanzas and, as mentioned above, is the self-denial of the father, believing that his children “just went for a walk.” The father hopes to meet them again in heaven – “catch up with them on the heights.” The denial-hope polarity is implied in the contrasting sections, X and Y, in each strophe, by both the textural and Eb major/minor alternations.

Diagram 9

Prelude		Eb major
Oft denk’ ich, sie sind nur ausgegangen,	X1	Eb minor
Bald werden sie wieder nach Haus gelangen,		
Interlude		
Der Tag ist schön, o sei nicht bang,	Y1	Eb major
Sie machen nur einen weitem Gang.		
Jawohl, sie sind nur ausgegangen,	X2	Eb minor
Und werden jetzt nach Haus gelangen,		
Interlude		
O sei nicht bang, der Tag ist schön,	Y2	Eb major
Sie machen den Gang zu jenen Höh’n.		

Sie sind uns nur vorausgegangen,	X3	Eb minor
Und werden nicht hier nach Haus verlangen,		
Interlude		
Wir holen sie ein auf jenen Höh'n	Y3	Eb major
Im Sonnenschein, der Tag ist schön.		
Postlude		

Level II: Polarity in contrapuntal and homophonic texture

in formal units

Within each strophe the contrapuntal and polyphonic textures sound: in the first strophe, the parallel sixths movement in the violins and the horns of the prelude continues in the bassoons as counterpoint to the voice. However, the tonic pedal of Eb-Bb in the cello preserves the homophonic nature of X. The subsequent contrasting Y section begins in a completely different mood with parallel thirds in the voice, flute, and violins, followed by contrapuntal texture. But the parallel sixth motion and tonic pedal recur at the end, resulting in a return to the homophonic texture.

Example 6: Textural Contrasts in X and Y

Contrapuntal combinations of Y

In the ensuing strophes, Mahler expresses the gradual change in the thought processes of the father toward the optimistic notion of rejoining his child in heaven. This transformation is portrayed by gradually changing the structures of Y.

Y1 begins with the thin parallel thirds texture in the flute and violin. The parallel movement is interrupted with the contrapuntally written “arch” of the diminished seventh chord.

Example 7: The Three Statements of Y in Song 4

Y1 voice fl. vns
15

voice
fl. vn2

hn., voice

Y2 36 fl.
ob.

voice

fl. ob
voice

Y3 59 fl.
voice

fl. vn
voice

fl. vn2
fl. vn1

Then the parallel-sixth movement with the tonic pedal returns, resulting in a very local level of polarity which emphasizes, through polyphonic treatment, key words such as “the day is fine!” or “on those heights!”

Y2 differs from Y1, most noticeably in its version of the “arch” line with its contrary motion based counterpoint. Here the two parts, voice and oboe, cross one another. The oboe reaches high Gb first, in the inverted form of the “arch.” Subsequently, the two parts invert with the parallel sixth motion. The inverted counterpoint recurs at the beginning of Y3, so that the flute counterpoint is heard a sixth above the vocal line from the very beginning. Y3 does not return to the homophonic texture. Instead, the flute is extended by sequences to the highest pitch, Bb. Thus Y3 is expanded to 11 measures, compared to 7 and 8 measures in Y1 and Y2, respectively.⁵⁹

Summary

This song does not contain the sharp contrast between strophes seen in the first song but instead gradually introduces contrast in stages. As seen in the following **Diagram 12**, the song contains only short polyphonic passages: the ratio of homophonic to contrapuntal writings is 55:16. The technique explored is thus a mixture of harmony and counterpoint.

⁵⁹ Russell interpretes the striking changes in this last stanza as “evoking the radiance of the sunny heights to which the singer aspires,” but I believe the changes express more than that. Examination of the procedures by which the structure of each stanza is changed show that the inverted counterpoint serves two functions: first, the melodic line places in an instrument in a higher register than the voice; secondly, the idea of stages of suffering is implied through changes in polyphonic techniques. The ultimate resolution of suffering is transformation to the other world. Russell, *Light in Battle*, 98-9.

Diagram 12: Proportions of Textural Contrast in Counterpoint and Homophony

Strophe	Homophonic	Contrapuntal
Prelude	mm. 1-5 (5)	
I	mm. 6-16 (11)	mm. 17-8 (2)
	mm. 19-23 (5)	
	(16)	
II	mm. 24-35 (12)	mm. 36-9 (4)
	mm. 40-6 (7)	
	(19)	
III	mm. 47-58 (12)	mm. 59-68 (10)
Postlude	mm. 69-71 (3)	
Total	(55)	(16)

(5) “In diesem Wetter, in diesem Braus”

The last song, “In diesem Wetter,” consists of five strophes in which the struggle between anxiety and reassurance grows, the conflict is resolved in the final strophe.

Level I: Polarities in key and formal units

Mahler presents the most extreme sense of polarity in the song – the greatest in the cycle – by contrasting the first four strophes with the last strophe (designated X and Y in **Diagram 13**). Thus the approach to polarity is unique to this song.

Diagram 13

Prelude		D minor
In diesem Wetter, in diesem Braus, Nie hätt' ich gesendet die Kinder hinaus' Man hat sie getragen, getragen hinaus' Ich durfte nichts dazu sagen.	X1	D minor
In diesem Wetter, In diesem Saus, Nie hätt' ich gelassen die Kinder hinaus, Ich fürchtete, sie erkrankten; Das ist nun eitle Gedanken.	X2	D minor
In diesem Wetter, in diesem Graus, Nie hätt' ich gelassen die Kinder hinaus. Ich sorgte, sie stürben morgen, Das ist nun nicht zu besorgen.	X3	D minor
In diesem Wetter, in diesem Graus! Nie hätt' ich gesendet die Kinder hinaus. Man hat hinaus getragen, Ich durfte nichts dazu sagen!	X4	D minor
In diesem Wetter, in diesem Saus, In diesem Braus, Sie ruh'n, sie ruh'n Als wie in der Mutter,	Y1	D major

Example 8: Textural Contrast of X and Y

X

16

2

Fl. picc.

Fl.

Ob.

C. ing.

Cl. (A)

Cl. b. (A)

Fg.

Cfg.

Arp.

Voc.

In diesem Wet-ter, in diesem Braus, nie

Vl. I

Vl. II

Vla.

Vcl.

Cb.

16

sui ponticello maresto

Fl. picc. *p*

Fl. *a 2* *p*

Ob. *a 2*

C. ing. *f*

Fg. *a 2* *p* *f*

Cfg. *p* *f*

Cor. (F) *2 4.* *p* *f*

Voce
hätt' ich ge-sen-det die

Vla. *div.* *p* *f* *p*

Vcl. *naturale* *p*

Cb.

20

Y

Cel.

Voce

(bis zu dem Schluß)

In die - sem Wet - ter, in

Langsam, wie ein Wiegenlied

VI. I

VI. II

Vla.

100

Cel.

Voce

die - sem Saus. in die - sem Braus. sie r

VI. I

VI. II

Vla.

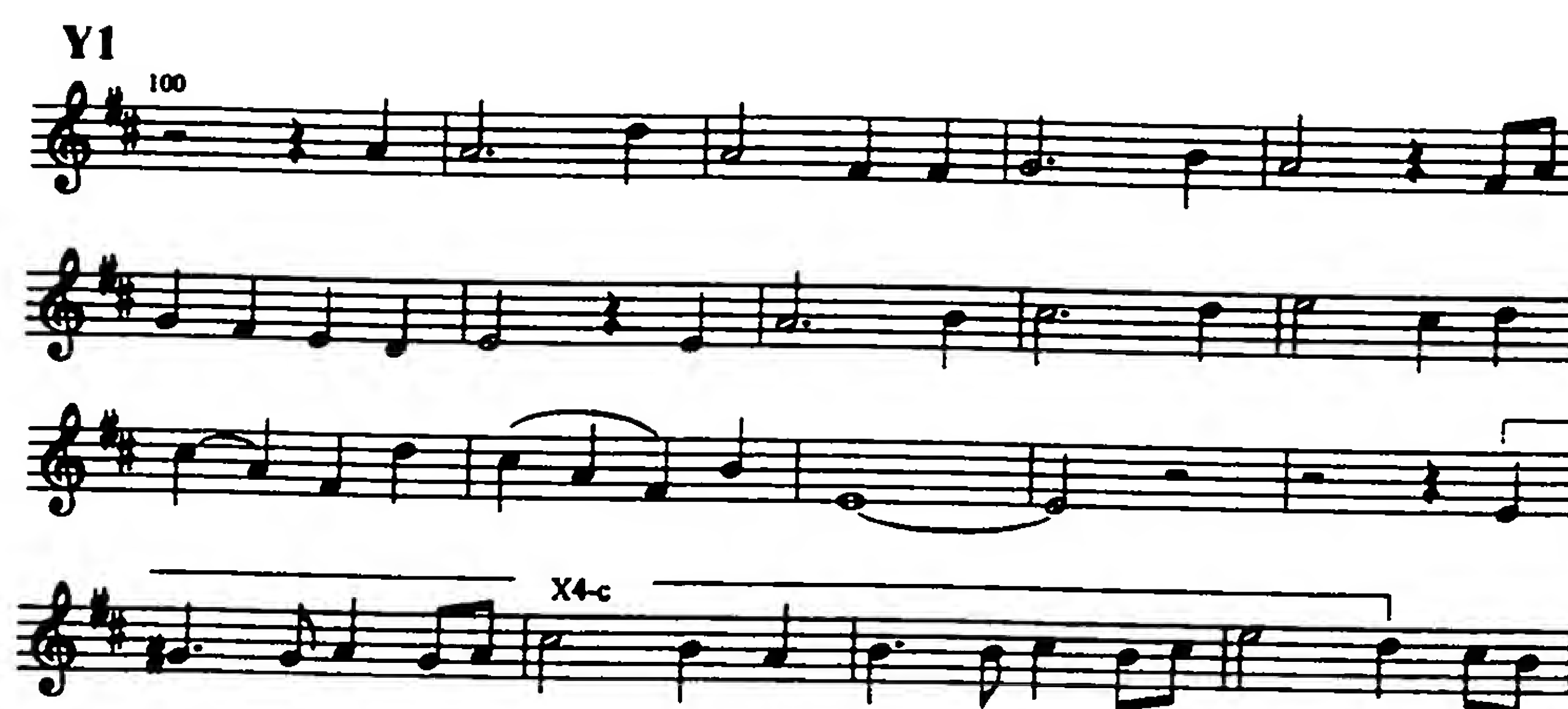
105

Integration of contrasting materials

Example 9 shows the melodic lines of X1, X4, and Y1 and their common melodic material shared by X and Y.

Example 9: Common Melodic Material Shared by X and Y

The musical score for Example 9 is presented in a single system with nine staves. It is organized into three groups of three staves each, representing the melodic lines of X1, X4, and Y1. The first group (staves 1-3) is for X1, with a bracket labeled 'X1' and 'X1-a' above the first staff, and a measure number '18' above the second staff. The second group (staves 4-6) is for X4, with a bracket labeled 'X4' and 'X4-a' above the first staff, a measure number '74' above the second staff, and a bracket labeled 'X4-b' above the third staff. The third group (staves 7-9) is for Y1, with a bracket labeled 'Y1' and 'Y1-a' above the first staff, a measure number '89' above the second staff, and a bracket labeled 'Y1-b' above the third staff. The music is written in a single melodic line on a five-line staff with a treble clef and a key signature of one flat (B-flat). The notation includes various note values, rests, and accidentals (sharps and flats). The score illustrates the integration of contrasting materials by showing shared melodic material between different sections.



Each X contains two features: the ascending line, which consists of the diatonic ascending octave (X-a), and the chromatic descending octave from D-D' (X-b). Both are gradually intensified by urgent ascending and descending movement. The peaceful lullaby, Y1, is built around the D major triad, but ends with the sequence of the preceding material, X4-c. Likewise, Y2 resolves with X4-c in the horn in the postlude. The main polarity in the song, caused by the contrasting textures, is integrated at the end through transformation: the stormy material in sections X and Y stops, thus portraying the quiet of "God's hand." This transfiguration thus shows a procedure of *Steigerung*, a rising to a new peaceful, heavenly state.

Corresponding homophonic textures in the cycle

The homophonic texture of the last song is reminiscent of that of the first (Compare **Example 3** to **Example 8-Y**).

In Z1 of the first song, Mahler used a chromatic ascending and descending vocal line associated with the rocking figure in the harp and low

strings and muted cello doubling the voice at the octave. Z1 developed the octave doubling in the first violin in the same register in Z4 at the end of the song. In the last song, Y1 has a triadic vocal line accompanied by the same rocking figure in the celesta and the second violin and octave doubling in the first violin octave above the vocal part. These structural parallels show that Mahler sought to integrate and intensify the cycle's material at its end. He intentionally used octave doubling, the tonally stable triadic melodies, and homophonic texture for describing the "higher stage" of being which bring closure to the cycle.

The musical presentation of *Kindertotenlieder* displays alternation of *contrapuntal* and *harmonic* textures that shape its text and, in turn, its tonal form. Mahler thus finds a new compositional resource for his works. In his middle-period Symphony No. 5, another work that scholars associate with Mahler's fascination with Bach, he continues his exploration of counterpoint and tonal form.

CHAPTER FOUR:

Strict Counterpoint and the Fifth Symphony: Polarity of Form in the Scherzo and Rondo-Finale

In the summer of 1901, when Mahler was fascinated with the *Bachgesellschaft*, he conversed with Bauer-Lechner about his current difficulty in composing the Scherzo movement of the Fifth Symphony:

The movement is enormously difficult to work out because of its structure, and because of the utmost artistic skill demanded by the complex inter-relationships of all its details. The apparent confusion must, as in a Gothic cathedral, be resolved into the highest order and harmony.¹

A few days after the conversation, Mahler spoke with her again about the same movement, explaining that his compositional difficulties were caused by a thematic simplicity that did not lend itself to harmonic development: "There should be no repetition but only evolution."² And, finally, he confessed that the Scherzo differed entirely from any other movements that he had written up till then and said:

It is kneaded through and through till nothing of the mixture remains unmixed and unchanged. Every note is charged with life, and the whole thing whirls around in a giddy dance.³

¹ Bauer-Lechner, *Recollections*, 172; *Erinnerungen*, 192: Der satz ist enorm schwer zu arbeiten durch den Aufbau und die grösste künstlerische Meisterschaft, die er in allen Verhältnissen und Details verlangt. Die scheinbare Wirrniss muss, wie bei einem gotischen Dome, sich in höchste Ordnung und Harmonie auflösen.

² *Ibid.*, 172; *Erinnerungen*, 192.

³ *Ibid.*, 173; *Erinnerungen*, 193: Es ist durchgeknetet, dass auch nicht ein Körnchen ungemischt und unverwandelt bleibt. Jede Note ist von der vollsten Lebendigkeit und alles dreht sich im

These structural relationships had to articulate “incredible energy” (unerhörter Kraft) – in Mahler’s words, the energy of “a comet’s tail.”⁴ Mahler added that this Scherzo’s dazzling virtuosity, expressed without the accompaniment of a text, made the symphony an entirely new compositional venture.

1. The History of the Fifth Symphony and Bach’s Motet

According to Alma’s diary, Mahler played his Fifth Symphony for Bruno Walter to “let him see in his soul” (Er lässt Bruno Walter in seine Seeler schauen).⁵ Specht wrote that the basic mood of the movement was derived from Goethe’s *An Schwager Kronos (To Coachman Kronos)*, which displays a mood of urgency and forcefulness:⁶

To Coachman Kronos

Hurry up, Kronos!
Continue the rattling trot!
Downhill beckons the road;
Nauseous dizziness steals
Over my brow at your driving.
Quick, though the ride’s rough,
Over stick and stones on a trot,
Forward, swift into life!

And now again

Wirbeltanz.

⁴ *Ibid.*, 173.

⁵ Alma Mahler-Werfel, *Mein Leben* (Frankfurt: Fischer Taschenbuch Verlag, 1963), 31.

⁶ Specht, *Mahler*, 290. Floros later learned from Bruno Walter about the relationship between the Scherzo and the poem. See Floros, *The Symphonies*, 153.

The breath-taking pace
 Up the toilful grade!
 Up, up, not sluggish now, striving, hoping, ascend!

.....

Wide, high, glorious view
 Round about upon life!
 From summit to summit
 The spirit eternal pervades,
 Boding a life without end.

.....

Go on, faster down!
 See, the sun is setting!
 Before it goes down, before I the gray-beard
 Am caught by the fog in the fen,
 Toothless jaws are clattering
 And bones are rattling.

Sound your horn, coachman!
 Rattle the resounding trot.
 That all Orcus may hear: We're coming!
 That there in the doorway
 Our host may graciously greet us.

The poem is characteristic of the young Goethe in his period of *Strum und Drang*. Kronos, the father of Zeus, is the coachman who drives Goethe through life in his coach. The ride or journey through life has moments of "nauseous dizziness;" though the road is rough, the journey must continue with life lived out to its fullest. In the end Goethe urges greater speed, in order to avoid being

overtaken by senility before arrival of the death's transcendent peace.⁷

The restless, urgent state of the poem and Goethe's pagan attitude toward death are closely related to Mahler's philosophical ideas. In his letter to Alma on the first day of rehearsals in Cologne for the première of the Fifth Symphony on 16 October 1904, Mahler writes:

The Scherzo is an accursed movement! It will have a long history of suffering! For fifty years conductors will take it too fast and make nonsense of it. The public – oh, heavens, how should it react to this chaos that is eternally giving birth to a world that then perishes in the next moment, to these primordial sounds, to this foaming, roaring, raging ocean, to these dancing stars, to these shimmering, flashing, breathing waves?⁸

As mentioned above, Mahler thought his philosophy encapsulating inner struggle and transcendence, and articulated by the textual polarities of hope and despair, light and darkness, and humor and irony, might need new techniques for expression in purely instrumental form. He obviously thought his ideas were more appropriate for a scherzo movement than one in sonata-allegro form. As Berio pointed out, in scherzi Mahler saw that “the distinct separation of exposition and development gives way to a tighter yet freer coexistence of the musical idea and its elaboration.”⁹ Obviously, Mahler needed freer means than sonata principle to

⁷ Edwin H. Zeydel, *Goethe, The Lyrical* (Chapel Hill: University of North Carolina Press, 1955), 5-6, 40-3.

⁸ Alma Mahler, *Erinnerungen*, 283. Here I used the quotation as translated in Floros, *The Symphonies*, 139: Das Scherzo ist ein verdammter Satz! Der wird eine lange Leidensgeschichte haben! Die Dirigenten werden ihn fünfzig Jahre lang zu schnell nehmen und einen Unsinn daraus machen, das Publikum – O Himmel – was soll es zu diesem Chaos, das ewig auf's Neue eine Welt gebärt, die im nächsten Moment wieder zu Grunde geht, zu diesen Urweltsklängen, zu diesem sausenden, brüllenden, tosenden Meer, zu diesen tanzenden Sternen, zu diesen verathmenden, schillernden, blitzenden Wellen für ein Gesicht machen?

⁹ Talia P. Berio, “Perspectives of a Scherzo,” in *The Seventh Symphony of Gustav Mahler: A Symposium*, ed. James L. Zychowicz (Madison: University of Cincinnati, College-Conservatory of Music, 1990), 75. In fact, many Mahler scholars begin their comments on understanding Mahler's

express and carry out his ideas; but, as we shall see, in the Scherzo of the Fifth, he still retained the principle of polarity so strongly associated with sonata-allegro form. Thus, again through polarities of tonal form, he would create a piece with the energy of “a comet’s tail.”

A few days before Mahler told Bauer-Lechner about the Scherzo movement of his Fifth in the summer of 1901, he talked to her about Bach’s genius for polyphonic technique in his third motet, “Singet dem Herrn,” and said that his own natural way of working was Bach-like (see Chapter 1, pp. 15-6).

His comments on Bach’s motet suggest a relationship between these two works. Moreover, the first performance of the Fifth in Vienna, on 7 December 1905, opened with Bach’s eight-part motet, “Singet dem Herrn ein neues Lied” (Sing a New Song to the Lord) conducted by Franz Schalk, the director of the *Gesellschaftskonzerte*.¹⁰ Perhaps in using the metaphor of a “new song,” Mahler wished to suggest the possibility of a connection between the new, purely instrumental style of his symphony and the inspiration of Bach’s motet.¹¹

Bach’s “Singet dem Herrn” is characterized by two contrasting four-part choruses which alternate each other and develop contrapuntal techniques as Bach had done in principle with all his works. As shown in **Example 1**, the piece

essential musical ideas by analyzing his scherzo movement. See Adorno’s first chapter of *Mahler and the Introduction of Vladimir Karbusicky’s Gustav Mahler und seine Umwelt* (Darmstadt: Wissenschaftliche Buchgesellschaft, 1978).

¹⁰ Mitchell noted that both works were conducted by Mahler, but the article in the *Neue Zeitschrift für Musik* states that only the Fifth Symphony was conducted by Mahler. *Neue Zeitschrift für Musik*, 102 (1905), 1039.

¹¹ The Viennese critics including Theodore Helm, Richard Wallaschek, Robert Hirschfeld, Hans Liebstockl, and many others were excessively unsympathetic toward the performance, complaining that it contained self-confident counterpoint and excessive dissonances but no new or meaningful themes. See La Grange, *Mahler*, Vol. 3, 272-9.

Example 1: The beginning of "Singet dem Herrn"

1. Psalm 149, 1-3

Sopran
Instrument 1 ad lib.
(a¹ - b²)

Alt
Instrument 2 ad lib.
(g - a²)

Tenor
Instrument 3 ad lib.
(c - a¹)

Bass
Instrument 4 ad lib.
(F - a¹)

Chor 1

Sopran
Instrument 1 ad lib.
(a¹ - b²)

Alt
Instrument 2 ad lib.
(g - a²)

Tenor
Instrument 3 ad lib.
(c - a¹)

Bass
Instrument 4 ad lib.
(F - a¹)

Chor 2

Orgel ad libitum *orgänist*

10 12 14

ein neu-es Lied, sin- get, sin- get, sin- get, sin- get, sin- get, sin- get,
neu-sangs of praise, sing now, sing now, sing now, sing now, sing now, sing now,

ein neu-es Lied, sin- get, sin- get, sin- get, sin- get, sin- get, sin- get,
neu-sangs of praise, sing now, sing now, sing now, sing now, sing now, sing now,

ein neu-es Lied, sin- get, sin- get, sin- get, sin- get, sin- get, sin- get,
neu-sangs of praise, sing now, sing now, sing now, sing now, sing now, sing now,

ein neu-es Lied, sin- get, sin- get, sin- get, sin- get, sin- get, sin- get,
neu-sangs of praise, sing now, sing now, sing now, sing now, sing now, sing now,

Herrn God, ein neu-es Lied, sin- get, sin- get, sin- get, sin- get, sin- get, sin- get,
God, neu-sangs of praise, sing now, sing now, sing now, sing now, sing now, sing now,

Herrn God, ein neu-es Lied, sin- get, sin- get, sin- get, sin- get, sin- get, sin- get,
God, neu-sangs of praise, sing now, sing now, sing now, sing now, sing now, sing now,

Herrn God, ein neu-es Lied, sin- get, sin- get, sin- get, sin- get, sin- get, sin- get,
God, neu-sangs of praise, sing now, sing now, sing now, sing now, sing now, sing now,

Herrn God, ein neu-es Lied, sin- get, sin- get, sin- get, sin- get, sin- get, sin- get,
God, neu-sangs of praise, sing now, sing now, sing now, sing now, sing now, sing now,

10 12 14

begins with one imitative four-part chorus combined with homophonic four-part writing. The contrasting textures are exchanged in the two choruses, frequently through the extensive use of invertible counterpoint.

We know Mahler avidly studied several of Bach's motets, and documentary evidence links him to a performance of "Singet dem Herrn." There is no exact transliteration of form from Bach's motets to that of Mahler's Scherzo or other parts of the Fifth Symphony. However, I contend that the profusion of intricate counterpoint in the motets inspired Mahler to write extensive passages of strict counterpoint, particularly in the Scherzo and Rondo-Finale of the Fifth – passages crucial for expressing their tonal form.

2. Strict Counterpoint and the Form of the Scherzo

The scherzo movement is, as usual, in rounded binary form (A-B-A). Scherzi traditionally demonstrate a contrast between the main section, A, and the contrasting trio, B. The contrast usually occurs in their texture: the trio often has a lighter, simpler texture than the main section. However, in the Fifth, Mahler transformed the simple A-B-A form into three main sections and three trios. The expansion of traditional Scherzo form in this work allowed Mahler to work extensively with strict and free contrapuntal combinations and their variants, developing the structural polarities and contrasts within the work's form. Mahler's Scherzo thus is more technically developed and more "scientific" in its use of strict counterpoint than any of the Fifth's previous movements.

(1) Form and Tonal Structure

In the first main and trio sections, Mahler creates contrast with their different styles of the folk-like *Ländler* and Viennese waltz, respectively. Here, themes from the main section are varied through their re-combinations in free counterpoint, while the trio assumes more and more complexity through use of extremely intricate, strict contrapuntal technique.

The expansion of the tonal structure into three main and subordinate sections with distinct textures can be seen as an allusion to Baroque form. The main sections, which always appear in the tonic, alternate with trios in other keys – a form reminiscent of a ritornello structure. **Diagram 1** provides the form, tonal structure, and the relationships of regions:

Diagram 1: Form and Tonal Structure of Symphony 5/III¹²

Main section I			
Measures		Key	Key regions
1-3	x	DM	T
3-15	A+P		
16-39	A+Ac		
40-47	B+Bc		
48-72	A+Ac, A+A'	Bm-BbM	sm-bSM
73-82	A'		
83-92	B+Bc	Dm	t
93-120	A+Ac, A+P	DM	T
121-35	A		
Trio I			
136-150	C	BbM	bSM

¹² Letters, A, B, and C mean themes A, B, and C. Also Ac and Bc mean the counterpart of theme A and that of B.

As shown in **Diagram 1**, the movement consists of three main sections, each of which has a 3-measure introduction, three trios, and a 20-measure coda.

(2) Themes

Each section has its own themes: A and B in the main section and C and D in the trio. They all have variant themes, labeled Ac, Bc, and Cc, which share rhythmic or motivic features. **Example 2** provides all themes in the movement.

Example 2: Themes in the Scherzo

The musical notation for Example 2 consists of four staves. The first staff, labeled 'A' and 'hn', begins with a measure number '3' and shows a melodic line with a triplet of eighth notes. The second staff, labeled 'B' and 'fl', begins with a measure number '9' and features a more complex melodic line with many beamed notes. The third staff, labeled 'P' and 'cl. bn.', begins with a measure number '5' and shows a rhythmic pattern with many beamed notes and accents. The fourth staff, labeled '10', continues the rhythmic pattern with beamed notes and accents.

The musical score consists of eight staves, each representing a different instrument. The notation includes various musical symbols such as notes, rests, beams, and dynamic markings. The staves are labeled as follows:

- Staff 1:** Acoustic Guitar (Ac), measures 15 to 20. Instrument: Vn I.
- Staff 2:** Violin (Vn I), measures 20 to 39.
- Staff 3:** Bass (B), measures 39 to 43. Instrument: via.
- Staff 4:** Bass (B), measures 43 to 47.
- Staff 5:** Clarinet (cla.), measures 47 to 51.
- Staff 6:** Cello (Cc), measures 51 to 136. Instrument: Vn I.
- Staff 7:** Cello (Cc), measures 136 to 141.
- Staff 8:** Horn (hn.), measures 141 to 241.

In the main section the solo horn theme A, a typical *Ländler*, is built in period form with irregular 7+6 phrase structure. A is varied and combined with its

counterparts, P, the parallel third melody in the woodwind at m. 5, and then Ac, the modified restatement of A in the first violin at m. 16. The period A recurs six times with cadences on the tonic and is varied with two deceptive cadences in the fourth and last periods. Theme B, a typical fugato figure – very like Bach’s only two-part fugue in *The Well-Tempered Klavier*, Book I, No. 10 – occurs in the strings and is imitatively developed with its counterpart, Bc.

Example 3: Bach, *Well-Tempered Clavier*, Book I, Fugue 10



The first Trio is introduced with a simple Viennese waltz theme, C, which recurs with its counterpart, Cc. The second Trio has its own theme, D. No new themes are introduced in Trio III, only a contrapuntal summary of previous ones.

Example 4: Rhythmic and motivic similarities between themes and their counterparts

Example 4-1



Example 4-2

Example 4-2 displays four staves of music. The first staff, labeled 'B', features a descending tetrachord motif labeled 'motive S (descending tetrachord)' with a 'via. 40' annotation. The second staff, labeled 'Bc', shows three instances of the 'S' motif, with a '43 cla.' annotation. The third staff, labeled 'D', shows a single 'S' motif with a '286 hn.' annotation. The fourth staff, labeled 'Bc', shows a single 'S' motif with a '602 ob.' annotation.

Example 4-3

Example 4-3 displays three staves of music. The first staff, labeled 'C'', features a 'Vn I.' annotation and a 'motive t' label. The second staff, labeled 'Cc', features an 'ob. 151' annotation and a 't' label. The third staff, labeled 'D', features a 'hn. 244' annotation and a 't' label.

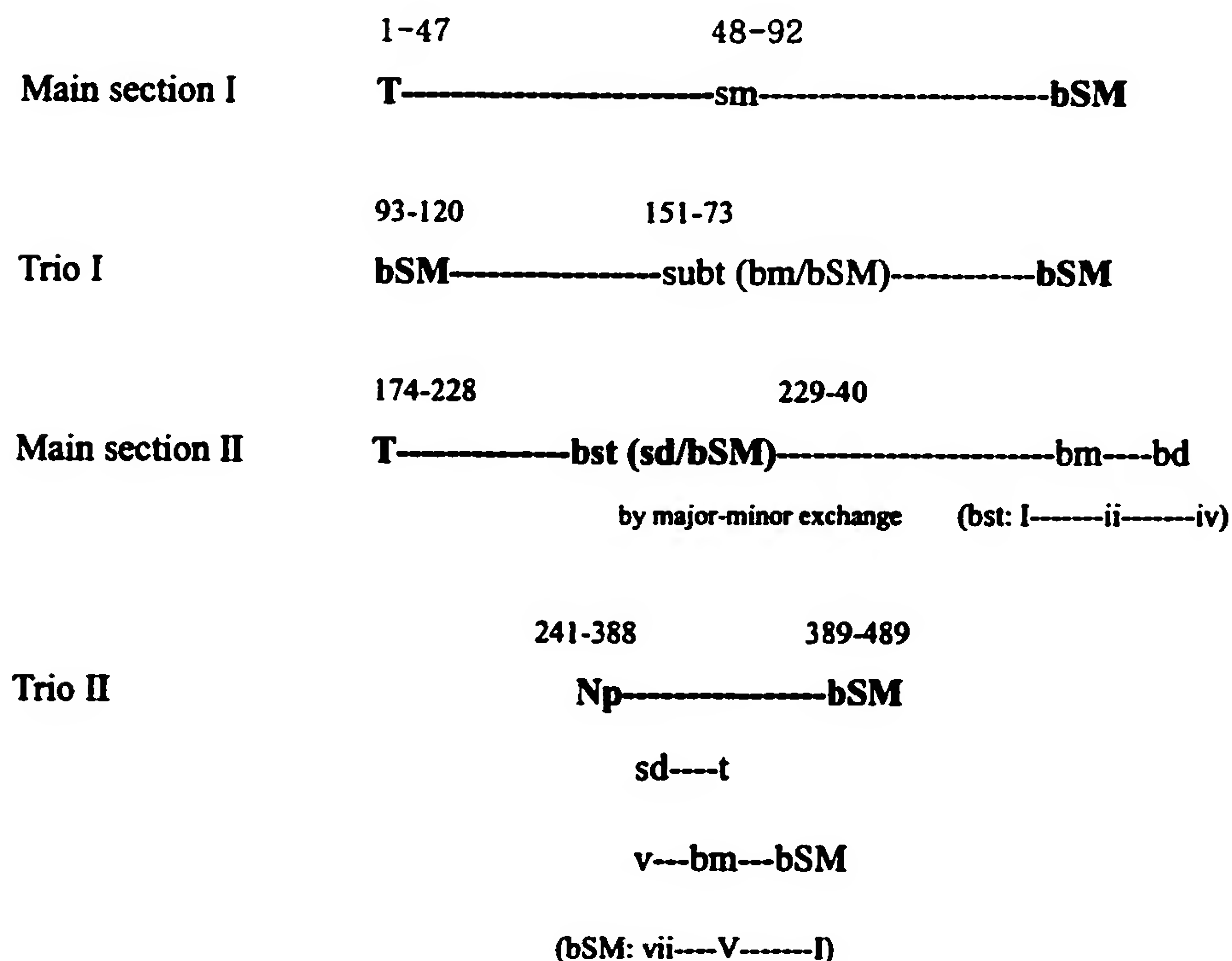
As shown in **Example 4-1**, Ac is related to A through rhythmic gestures. B and Bc share the motivic relationship of the descending tetrachordal figure, as well as Bc' and D', in **Example 4-2**. Similarly, Trio theme C has motivic connections to its counterpart, Cc, in its second statement at m. 151. A slightly modified C (designated C'), also appears with its counterpart Cc, including the

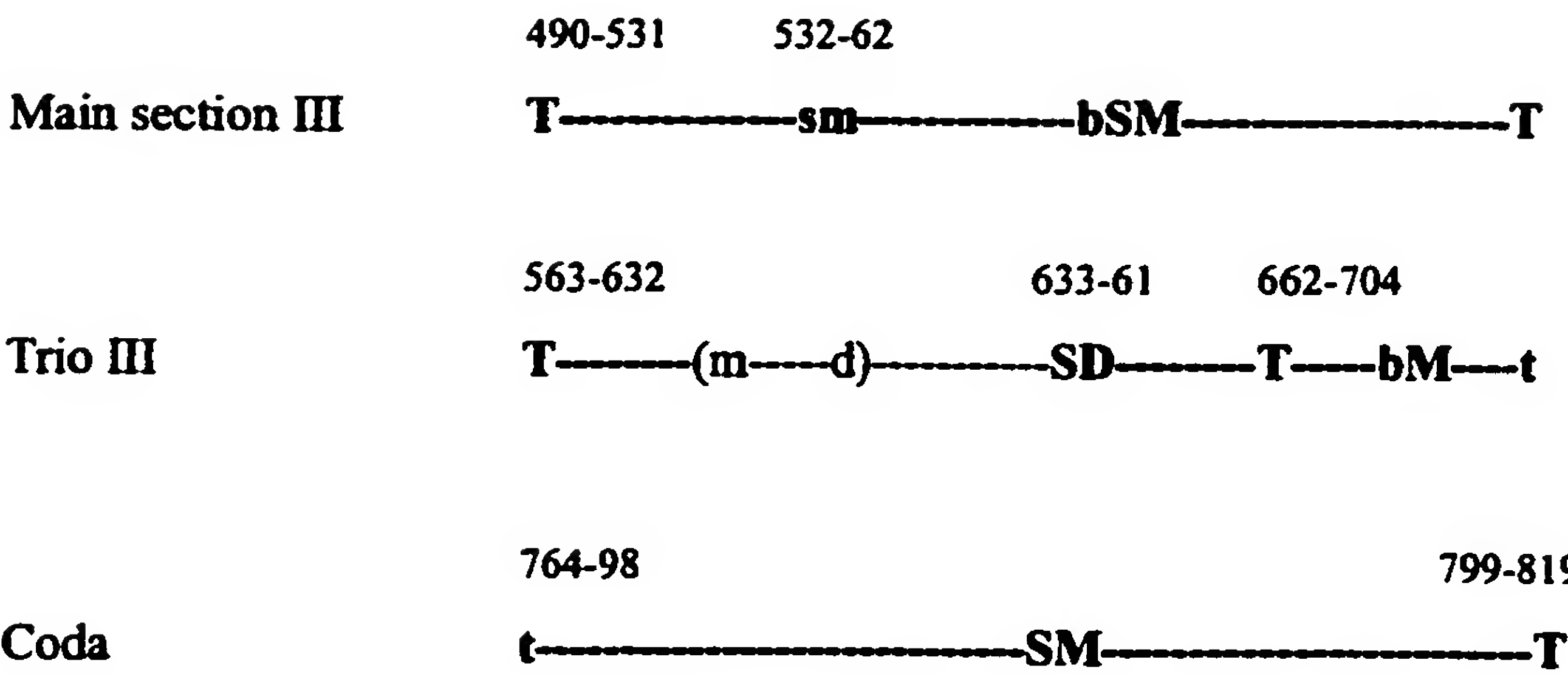
same upper neighbor figure (motive t) with similar rhythmic gestures and descending whole- and half-steps, respectively. Theme D in Trio II is also derived from Cc (Example 4-3).

(3) Polarities in Key Regions

The main section always recurs in the tonic. The flat-submediant region (T-bSM) is the main polarity to the tonic until the end of the movement. In Trio III and the Coda, the flat-submediant is replaced by the subdominant and major submediant, and other regions. **Diagram 2** shows instances of the repeated tonic/submediant polarity.

Diagram 2: Polarities of T-bSM regions





(4) Polarities in Strict and Free Counterpoint

Mahler’s intention of creating textural polarities is clearly shown in his polyphonic writing. Since both the main and trio sections of the Scherzo are constructed polyphonically, it is essential to examine the differences in contrapuntal techniques used by Mahler. **Diagram 3** shows the contrast of free and strict (indicated in bold) counterpoint and also notes homophonically written sections.

Diagram 3: Polarities in Strict and Free Counterpoint

Main Section I								
1-15	16-39	40-7	48-72		73-82	83-92	93-120	121-35
<u>A</u>	<u>Ac</u>	<u>Bc</u>	<u>Ac</u>	<u>A</u>	A''	<u>Bc</u>	<u>Ac</u>	A
P	A	BB	A	A'		BB	A	
								Free [133]
Trio I								
136-50 [15]			151-73 [25]			Strict [25]		
CC			<u>C'</u> <u>Cc</u>			Free [15]		
			Cc C'					

Main Section II						
174-201	201-28	229-40				Free [67]
<u>A</u>	BB	<u>Bc</u> <u>Bc</u>				
P		B <u>D</u>				
		B				
Trio II						
241-56	257-85	286-336	337-51	353-59	360-88	
<u>B</u> <u>D</u>	<u>Ac</u>	<u>D</u>	<u>D</u>	<u>D</u>	DD	
D <u>x</u>	x	Bc	D'(s)	Bi		
B						
389-406	407-28	429-39		440-89		
<u>B</u> <u>D</u>	<u>D'</u>	C' (homophonic)		<u>D</u> <u>C'</u>		
D Bi	C'			C' B,Ac		
						Free [196]
						Strict [42]
						Homophony [11]
Main Section III						
490-526	527-31	532-62				Free [73]
<u>A</u>	<u>BcBc</u>	<u>Ac</u>				
P	B	x				
Trio III						
563-78	578-632 [55]	633-61	662-744			
<u>C'</u>	<u>D</u> <u>B</u>	C' <u>P'</u>	<u>C'</u> <u>C</u> B D B D'			
Ac'	B D	<u>B</u>	x B			
		A				
745-63 [19]						Free [129]
B, D' (homophonic)						Strict [55]
						Homophony [19]
Coda						
764-98	799-819					Strict [10]
<u>B</u> <u>C</u> <u>x</u>	<u>C'</u> <u>C'</u>					Free [46]
Bc B B	<u>D'</u> <u>A</u>					
	<u>Bc</u> Bc					

B	
Total	Free counterpoint [659]
	Strict counterpoint [130]
	Homophony [30]

In the first main section Mahler repeated theme A six times and, after every two statement of A, the fugal theme B enters. The two themes are clearly separated when they occur, clearly dividing the overall sections in two. While theme A occurs with its counterparts P and Ac as well as variants of A, theme B occurs only with imitative fragments of itself (indicated in **Diagram 3** in repeated letters such as BB).

The Trio theme C is introduced with Cc. As shown in **Diagram 3**, the main section I and Trio I are neatly contrasted and distinguished from one another by their own characteristic themes in free contrapuntal writing and from the simple homophonic waltz theme C (though it is imitated in other parts after two measures) which is used later in the strict invertible counterpoint. Along with their different key regions of T and bSM, these contrapuntal combinations create basic levels of polarity. The application of the invertible counterpoint here anticipates the strict contrapuntal writing in the following Trio sections, which makes use of the most complex strict techniques.¹⁴

¹⁴ I adhere to Ebenezer Prout's definition of invertible or double counterpoint as the relationship in which two melodies, played or sung together, are so written as to be capable of inversion, that is, either of them may be above or below the other and the harmony will remain correct. See his *Double Counterpoint and Canon* (London: Augener Ltd., 1891), 1. Prout is one of the main writers on counterpoint during Mahler's lifetime, summarizing the German contrapuntal tradition.

Trio I

The invertible counterpoint in all three trio sections creates a quicker dynamic of tonal motion than the free counterpoint of the main section. Mahler achieves this sense of motion by using various vertical combinations which produce tonal ambiguity. See **Example 5**.

Example 5: Vertical relationships and Invertible Counterpoint in Trio I

The musical score for Example 5 is divided into three systems. The first system (measures 151-155) features four staves: vn. I (Violin I), ob. (Oboe), vn. II (Violin II), and Cc (Cello). The second system (measures 156-160) features three staves: vn. II, fl. (Flute), and vla. (Viola). The third system (measures 161-165) features two staves: vn. I and Cc. The score includes various musical notations such as notes, rests, and fingerings (e.g., 4, 3, 3, 3, 4, 3, 7, 5, 6, 7, 7, 6). There are also dynamic markings like *ff* and *ff* 160, and articulation marks like *ff* and *ff*.

The counterpoint producing such tonal ambiguity is different in nature from sections, having relative degrees of strictness. For example, the invertible counterpoint which occurs in Trio I between themes C' and Cc (m. 151) yields several effects: since C (or C') and Cc are motivically related (see **Example 4-3**),

the neighbor tone figure *t* is heard as imitative; *C'* is played in the first violin above *Cc* in the oboe and the second violin at m. 151, while *C'* gives way to *Cc* the higher register in the flute and the second violin, while the viola takes over *C'* in a lower register at m. 160. Thus, they not only are the voices exchanged but also transposed: *C'* down by a major sixth and *C* up by a minor third. The result is double counterpoint at the octave, so that the sums of two vertical intervals have to be consistently nine. At mm. 153-55 and in their subsequent statements, the intervallic relationship of such lines is thus no longer consistent: **4-3-3-3-4-3-7-5-6-7-6** becomes **5-6-6-6-5-2-6-3-4-4**.¹⁵

Theme *Cc* in the flute (m. 160) is loosely imitative as a result of its motivic similarity to theme *C'* of the first violin (m. 162) but then breaks off and repeats again at m. 164. Theme *C'* in the first violin moves down to the second violin for the third statement of theme *Cc*. Thus, motive *t* is successively heard in the flute, first violin, and then in the second violin with the imitative effect. For the natural continuation in this progression of voice-exchange, the vertical intervals of the third statement are slightly altered to virtually parallel motion, **6-6-6-6-5-6**, in invertible counterpoint with the first combination. Here the invertible counterpoint is applied only at the beginning of each combination and develops to free invertible counterpoint with motivic variation.

The above description of the first parts clearly shows that its inherent sections are contrasted not only by distinctive themes and keys but also the strictness of contrapuntal writing. In this sense the main section I and Trio I are

¹⁵ Numbers in bold indicate the intervals whose sums are consistent in the section of invertible counterpoint.

written in a traditional style of a Scherzo movement, but the later application of strict invertible counterpoint in the Trio is unique enough to regard its technical complexities as unconventional.

Main section II is noticeably shorter than the preceding one: only one statement of theme A occurs, instead of the six in the previous unit. Theme B still occurs in imitation, and other contrapuntal combinations occur in free contrapuntal style. The closing part of the main section II (mm. 229-40) functions as a transition to Trio II, and theme D of the following section prefigures the change (see the end of Main Section II in **Diagram 3**). This is the moment of thematic mixture between the contrasting main and Trio sections, which lessens the level of contrast between formal units of the Scherzo.

Trio II

The new theme of Trio II, D, is derived from themes C and Cc (see **Example 4-3**). It is introduced with B, the theme of the main section, thus creating a new combination stated later in invertible counterpoint at mm. 241-56, 353-59, and 389-406. This contrapuntal combination is one of total independence, introduced without any imitation. The polyphonic writing of this section becomes more complex not only with the nature of its combinations but also with inclusion of themes in prime and inverted form – a technique not found in earlier sections of the work.

Example 6: Invertible Counterpoint of Trio II

The musical score consists of five systems of staves, each representing a different section of the Trio II. The instruments and measures are as follows:

- System 1:** Measures 241-251. Instruments: fl. ob. (flute oboe) and hn. (horn). The key signature is B-flat major. The first staff is labeled 'B' and the second 'D'.
- System 2:** Measures 252-301. Instruments: ob. hn. cl. (oboe, horn, clarinet) and vn. I (violin I). The key signature is B-flat major. The first staff is labeled 'D' and the second 'B'.
- System 3:** Measures 302-351. Instruments: vc. (viola) and hn. (horn). The key signature is B-flat major. The first staff is labeled 'D' and the second 'Bi'.
- System 4:** Measures 352-401. Instruments: vn. I (violin I) and tp. (trumpet). The key signature is B-flat major. The first staff is labeled 'B' and the second 'tp.'.
- System 5:** Measures 402-451. Instruments: fl. (flute), cl. (clarinet), and tb. (trombone). The key signature is B-flat major. The first staff is labeled 'D' and the second 'Bi'. The third staff is labeled 'A'.

The first occurrence of the contrapuntal combination here features D and

B at m. 241. The two themes exchange their register and thus produce invertible counterpoint by shifting instruments in the second contrapuntal combination at m. 252. However, it is not actually strict invertible counterpoint, as theme B is altered to a rocking figure. The third contrapuntal combination at m. 353 has theme D in the cello in the high register and B in the clarinet in the lower. Here, theme B is inverted (Bi) to a previous form; thus, it yields totally different vertical intervals compared to its first contrapuntal combination. Further, the fourth combination (at m. 389) also explores invertible combinations with D and B, also including Bi and D in voice-exchange at m. 403 (see **Example 6**). The combinations are not strict invertible counterpoint, but they have notions of inversion in aspects of the themes they share.¹⁶

The intricate contrapuntal working of this Trio is offset by the inclusion of homophonic material. In mm. 429-39 the modified waltz theme C' with "oom-pah-pah" accompaniment briefly occurs for the first time in the movement. However, this short excerpt functions as a moment of reflection after passages of complex invertible counterpoint. Therefore, the polarities of texture only briefly affect the form.

Trio III

The invertible counterpoint is more technically complex in Trio III, with multiple combinations of themes B and D'. The invertible counterpoint first occurs in the combination of theme B in its original form and theme D at mm.

¹⁶ In the technical range of strict counterpoint, I will include the contrapuntal combinations which show the relationship between themes by thematic operations such as inversion, retrograde, augmentation, or diminution.

578-632. At m. 584, however, the combination consists of four voices instead of two: the parallel sixth with theme D in horns and the counterpart of B and Bi in the violin and viola. Thus, theme B', placed in the middle voice, and two themes of D, produce three-part invertible counterpoint at the sixth. Further, at m. 622, theme D and its altered form are placed in the middle parts in the trombone and trumpet, respectively, enclosed by theme B (here again slightly modified) and its inversion.

Example 7: Invertible Counterpoint in Trio III

The musical score for Example 7: Invertible Counterpoint in Trio III is presented in two systems. The first system, measures 583-632, features four staves: Violin I (vn I), Horn (hn), Viola (via), and Horn (hn). The first two staves (vn I and hn) play a parallel sixth with theme D. The third and fourth staves (via and hn) play a counterpart of B and Bi. The second system, measures 622-632, features four staves: Violin I (vn I), Trumpet (tp), Trombone (tb), and Viola (vc). The first two staves (vn I and tp) play a modified theme B, and the third and fourth staves (tb and vc) play an inverted theme B. The score includes various musical notations such as notes, rests, and accidentals, as well as fingerings and breath marks.

As shown in **Example 7**, the combinations in Trio III are highly technical compared to those of earlier passages. These multiple combinations are not merely a superimposition of individual voices; but, certain lines are also interconnected by operations of inversion and transposition. The new combination, created at m. 648, in turn combines themes B and A, both of which come from the main section but had never been presented simultaneously. This event prepares for the quadruple-combinations in the Coda constructed with all the Scherzo's themes.

Coda

The Coda's new combinations are created by placing themes B, C, and Bc (mm. 764-98). The combination of B, Bc', C', and D' occurs at m. 799-807, and the chromatically descending fourth theme D' appears in octave doubling, creating an additional invertible counterpoint with Bc'.

Example 8: Invertible Counterpoint in the Coda

The musical score for Example 8, titled "Invertible Counterpoint in the Coda," spans measures 799 to 807. It consists of five staves, each representing a different theme: C, D', Bc, D', and B. The key signature is G major (one sharp). The notation includes various musical symbols such as treble and bass clefs, notes, rests, and accidentals. Fingerings are indicated by numbers 1 through 5. A "8va" marking is placed above the first staff. The score demonstrates intricate counterpoint, with themes C, D', and Bc appearing in multiple voices and octaves, creating a complex harmonic texture.

This extraordinary combination of so many themes at the end of the movement produces enormous energy at the work's end – an example of technical virtuosity perhaps as remarkable as a “comet's tail.” The compositional difficulties of using all themes in contrapuntal combination is obvious – it is not surprising that Mahler complained of technical difficulties. In principle, the combination of all themes as a contrapuntal unit recalls Bach's *Art of Fugue*, the culmination of Bach's contrapuntal technique.

(5) Summary

The polarities in the Scherzo of the Fifth Symphony are discussed in the contexts of theme, key region, and strict contrapuntal writing. These polarities clearly appear between the first main section and Trio. However, as the fugato theme B intrudes into the Trio II, the effect of polarity between two contrasting sections is produced in another manner – purely on the principle of strict, intricate polyphonic writing. While the main section consists of various contrapuntal combinations which become less complex as the section returns, the Trio employs exponentially greater contrapuntal manipulations of themes in multiple contrapuntal combinations. Moreover, while the main sections are tonally stable, the trio sections more frequently move into various regions. The Trios thus increase in length throughout the piece, compared to the decreased length of the main sections (see **Diagram 3**).

Floros wrote about the Scherzo that, “while the main section of the Scherzo is bursting with strength, the gentle Trio has the character of a *valse*,” and he claimed that Mahler's compositional difficulties derived from the main

section.¹⁷ However, his above-quoted assertion about “gentle” trio is obviously false. If anything, it is the Trios, with their intricate, strict counterpoint, that created Mahler’s compositional difficulties, forcing him to find new compositional resources and techniques. The new complexities of counterpoint introduced in the Scherzo are carried into the Rondo-Finale. Here, Mahler perfects the compositional notions of his new style.

3. Strict Counterpoint and the Form of the Rondo-Finale

Unlike the Scherzo, the final movement, the Rondo-Finale, must bring all processes to a close. In Mahler’s philosophy of composition, this also includes a sense of transcendence in the listener. I contend that, as usual, Mahler achieves his goal by introducing polarities into the tonal form of the movement. I will consider the dualities of themes, keys, and contrapuntal techniques in the main sections.

(1) Form and Tonal Structure

The only difference found in the thematic polarity is that there is no such local expression of it within a section, as rondo form itself consists of frequent alternations of section. Thus, the main polarity lies in the main section with imitative main theme **A** and in the episode with fugal theme **B**. In addition, the third section, **C**, intervenes between the alternating sections.¹⁸ Interestingly, in this movement the rondo theme **A** occurs less frequently than the fugal episode **B**: rather, between every occurrence of sections **A** and **C**, fugal theme **B** appears in

¹⁷ Floros, *Mahler: The Symphonies*, 151.

¹⁸ The letters in bold indicate sections.

alternation. As La Grange pointed out, although theme C does not appear until the second occurrence of themes A and B, it becomes more and more important just as the trio section steadily became more important towards the end of Scherzo.¹⁹

Thus it is safe to say that the basic polarity is built between both sections A/C and

B. Diagram 5 shows the large-scale form and its tonal structure in the Rondo-Finale, as we shall see, a form interpreted in varying ways by several scholars.

Diagram 5: Form and Tonal Structure of Symphony 5/V

1-23	Introduction: X, Y, Z	DM	T
24-56	A1: theme A, W	DM	T
56-135	B1: theme B+Y, W, Z s', Y	DM-AM-AM-DM- BbM(-Ebm)-DM	T-D-T-D- -bSM(-bst)-T
136-66	A2: A, W	DM	T
167-90	B2: B+x1'	BbM-DM-F#M	bSM-T- - M(V/SM)
191-252	C1: <i>Adagietto</i> (s)	BM	SM
273-306	B3: x1'+B, Z+X+B	GM-DM(-AM-EM) -BM	SD(bVI/SM) -T-SM
307-36	C2: <i>Scherzo</i> +x1+Y	CM(-Dm-GM-AbM)	bSubT (:I-ii-V-bVI)
337-72	B4: B+s'	BM-AbM-DbM-AM -DM	SM-bD-SubT- -D-T
373-423	C3: <i>Adagietto</i> (s)	DM	T
423-9	B5: B+x1', B+x1'+X	BbM-DM-CM-V/DM	bSM-T-bsubt- -V/T
497-525	A3: A	DM	T

¹⁹ La Grange, *Mahler, Vol. II*, 820.

526-80	B6: B+X+s'	BbM-CM	bSM-bSubT
581-622	A4: A	AbM-AM	bD(bVI/bSubT) -D
623-710	C4: Adagietto (s)	GM-EbM-FM-Dm -DM-CM-Am	SD-Np-bM-t- -v-bSubT
711-48	Coda: A+B, s', A+Y	DM	T(I-bVI-I)

On the one hand, Sponheuer divided the form of the Rondo-Finale into three sections, **A-B-A, B-C-B-C-B**, and **A-B-A-C-Coda**, and called it a “disguised” sonata form.²⁰ However, this schema does not support other aspects of the sonata or sonata-rondo form either in its contrasts of themes and in the key relationships. For example, except for its last appearance, theme A always occurs in the tonic, while theme B is transitory. On the other hand, Baxendale viewed the form of the movement as **A-B-A transition C-B1-C2 retransition A2-B2 Exploration Apotheosis** – a counter to Sponheuer’s sonata structure.²¹ In her diagram, however, Baxendale overlooked the function of Mahler’s frequent repetitions of fugal section B, instead wrongly interpreting them as “transitions” or “explorations.”

I will argue that the analysis of the movement a rondo form, reminiscent of ritornello procedure, is most appropriate. Thus, **Diagram 5** shows the formal

²⁰ Bernd Sponheuer, *Logik des Zerfalls: Untersuchungen zum Finalproblem in den Symphonien Gustav Mahlers* (Tutzing: Verlegt bei Hans Schneider, 1978), 251.

²¹ Carolyn Baxendale, “The Finale of Mahler’s Fifth Symphony: Long-range Musical Thought,” *Journal of the Royal Musical Association*, 112/2 (1986-7), 257-79. Rainer Boss also claims that the form of the Rondo-Finale is the integration of fugal treatment into sonata form in his “Symphonic Construction and Fugue: Analytical Remarks on Form and Structure in Mahler’s Fifth Symphony,” *Nachrichten zur Mahler-Forschung* 41 (1999), 5.

structure of **A-B-A-B-C-B-C-B-A-B-A-C-Coda** – a plan built on the polarity of **A/C** and **B**. One of the most important issues for realizing this formal presentation will be the investigation of accelerated contrapuntal activity in section **B**.

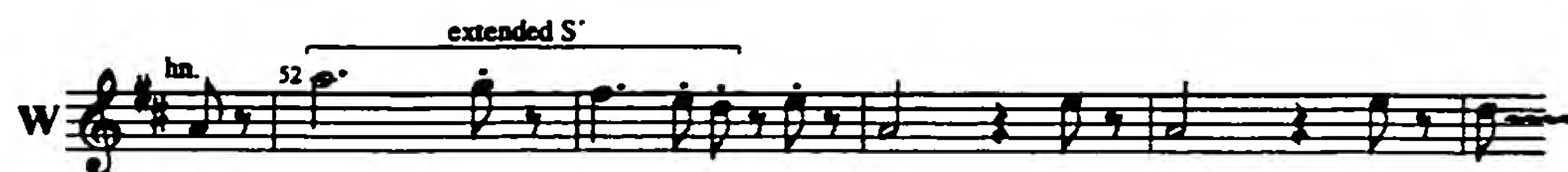
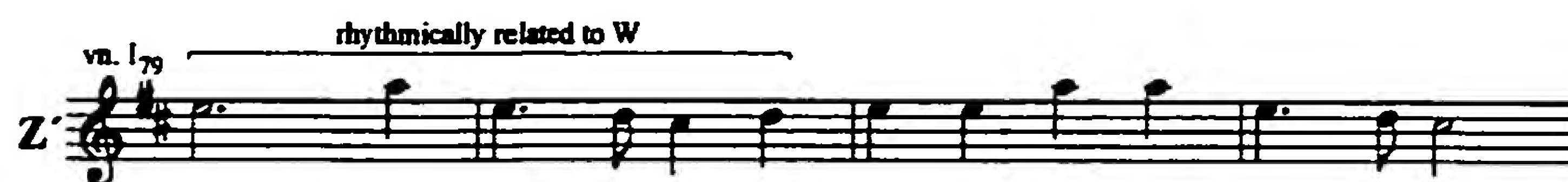
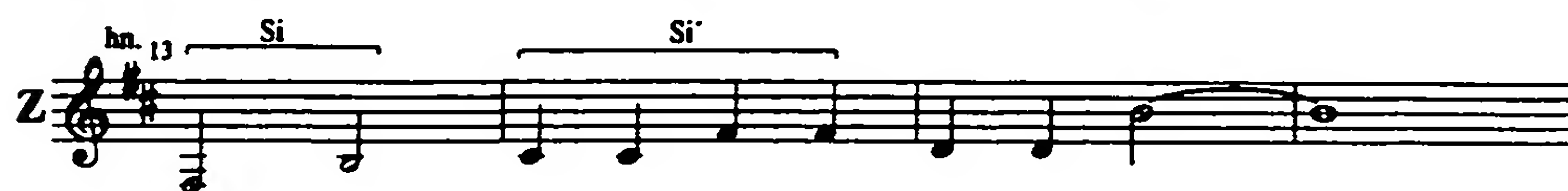
(2) Themes

The contrasting sound between the two themes A and B develops in different ways. Theme A is varied by itself throughout the movement, while fugal theme B always occurs with various combinations of the themes presented in the introduction (themes X, Y, and Z). In addition, *grazioso* theme C in section C intervenes in the middle of the movement to cause new contrast. Theme C is reminiscent of themes in the preceding movements – Scherzo and Adagietto – but its contents is also closely related to the themes of the introduction. **Example 9** provides the themes of the Rondo-finale and their relationships.

Example 9: Themes and Motives in the Rondo-Finale

The musical notation for Example 9 consists of three staves. The first staff is in bass clef and contains measures 3 through 8. It features a triplet of eighth notes labeled 'S' and a phrase labeled 'X1'. The second staff is in treble clef and contains measures 10 through 15. It features a phrase labeled 'X2' and a phrase labeled 'S1'. The third staff is in bass clef and contains measures 169 through 174. It features a phrase labeled 'X1' and a measure marked '169 hn'.

(from Adagietto)





The movement begins with the introduction consisting of three themes, X, Y, and Z. They are interrelated by the descending fourth motive *s* and *s'* as shown in **Example 9**. Theme Z consists of the inverted motive *s* (designated *si*). Theme X is subdivided into *x1* and *x2*, each of which develops independently. Theme A, which makes an imitative entrance in the main section, is also related to the other themes by the descending fourth figure (motive *s'*). Theme W, which occurs in the dissolution of theme A, also contains the extended descending figure *s'*. Only theme B has nothing in common with the other themes, except the inverted form of motive *x1* (*x1i*) at its very beginning. Realize that B is featured in the Baroque-like fugal theme.

The melodic and rhythmic contour of the theme in section C is related to the themes in the Scherzo and Adagietto movements (**Example 10**). C also shares *s'* and *x1'* with themes X and Y in the Rondo. In conjunction with other themes, C also provides textural contrast to section B.

Example 10: Themes Related to Themes in the Scherzo and Rondo-Finale.

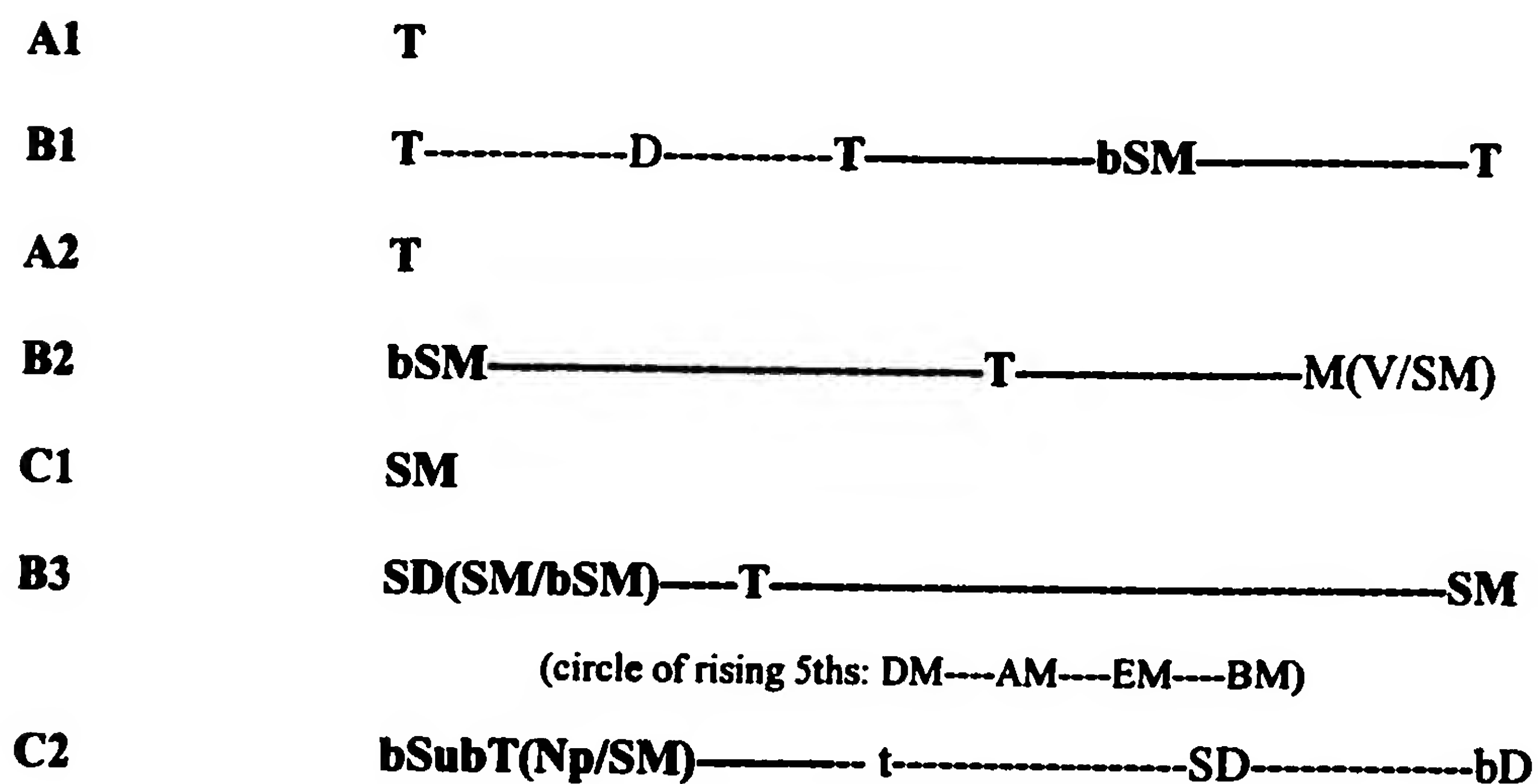


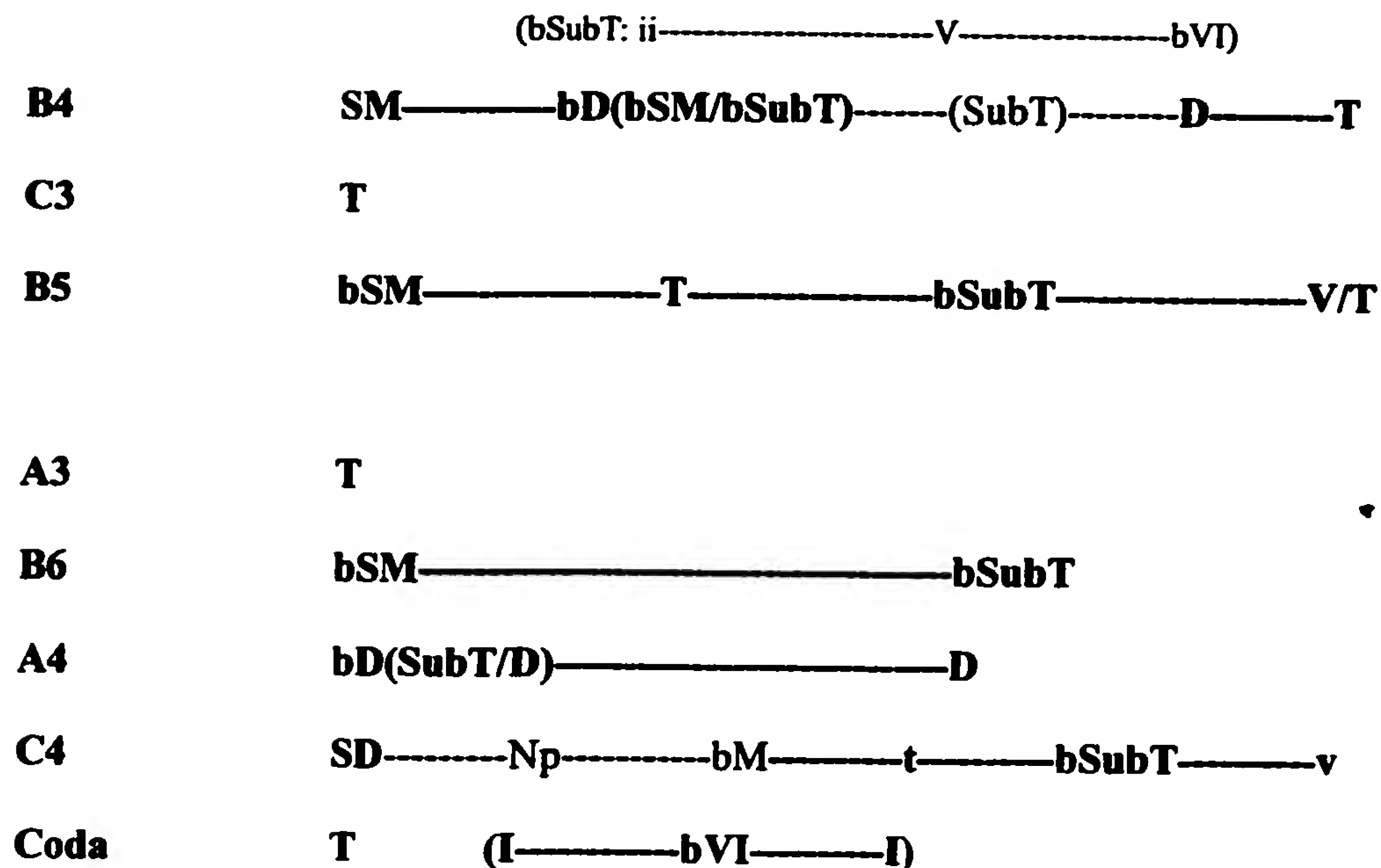


(3) Polarities in Key Regions

As the contrast between themes A and B is mitigated by the various contrapuntal combinations of theme B, the tonal structure does show the great polarity between sections: every main section occurs in the tonic except the last one, while other sections are mostly modulatory.

Diagram 6: Levels of Polarities in the Key Relations





In sections **A1** and **B1** the main polarity in key regions is established between **T** and **bSM**. The main polarity between **T** and **bSM** develops as a contrast between **bSM** and **SM** in section **C1**. Section **B3** begins in **SD**, which is **bSM** (**bVI**) of the **SM** and moves from **T** to **SM** through the circle of rising 5ths. Section **C2** occurs in C major, which is **bSubT** and **Np** of **SM** as well. The **bSubT** region develops into the **bD** region, which is **bSM** of **bSubT**. The **bD** region appears again in section **B4** and moves to a V-I progression in **T**. In the place of section **A3**, section **C3** occurs in **T**, so that the modulatory section **B5** follows. Here, the polarity between **bSM** and **T** returns, and the retransition-like section occurs at the end with the extended dominant passages.

Although section **A3** occurs in a new triplet quarter-note rhythm at m. 497 in **T**, it is still too ambiguous to be defined as a recapitulation since the polarities of **bSM** and **bSubT** remain in the following **B6**. Finally, **A4** occurs for the first

time not in the tonic but in the flat-dominant region (**bD**) as its **SubT**. The dominant region occurs in repeated elements of the **bD** region. It moves to **SD** in **C4**, replacing the main polarity of **bSM**, and roves toward the dominant minor region (**v**). The **Coda** then superimposes contrasting themes A and B and establishes **T**. However, the pitch Bb in octave unison in the full orchestra (m. 783) – a strong reminder of the polarity between **T** and **bSM** still exists. The Bb of **bSM** and G# of **bD** build the augmented sixth chord, and thus the movement finally resolves in a Ger6-V-I progression.

As in the Scherzo, the main polarity lies in **T-bSM**, thus producing various levels of local polarity with **SM**, **bSubT**, and **SD**; but the polarity between sections is more prominent in the stable and constantly moving state of their key structures. Although section **C** makes the polarity of key regions ambiguous, it creates an upper level of polarities in its every occurrence, as opposed to the **B** section, which only “roves” through various regions.

(4) Polarities in Strict and Free Counterpoint

Polarities in contrapuntal writing can be clearly seen in the final movement. As in the Scherzo, fugal theme B is consistently combined with other themes from the introduction, creating strict counterpoint. Meanwhile, theme A is introduced in imitative free counterpoint. **Diagram 7** shows the contrapuntal combinations that occur in each section.

Diagram 7: Polarities in Strict and Free Counterpoint

A1 (24-56):		AA, WW				Free [33]
B1:	64-71	72-8	79-94 [4]	95-9 [4]	100-35	Strict [23]
	<u>B</u>	<u>Y</u>	<u>Z'+Z+W</u>	<u>B</u>	s', Y	Free [49]
	Y	B	<u>B</u>	<u>Y</u>		
			Y	X		
A2 (136-66):		AA, W				Free [31]
B2	167-90					Free [24]
	<u>x1'</u>					
	B					
C1 (191-252):		Adagietto				Free [62]
B3	253-72	273-85		286-91	Strict [19]	
	<u>x1'</u>	<u>Z</u>		<u>x2'(augmented)</u>	Free [20]	
	B	<u>X</u>		<u>B</u>		
		B		Z		
C2	307-13	314-8		Free [12]		
	x1	<u>Y</u>				
		x1(diminished)				
B4	337-48	349-56	357-64	365-72	Free [36]	
	<u>s'</u>	<u>B</u> <u>BB</u>	<u>B</u>			
	B	s' s'	x1'			
C3 (373-423):		Adagietto				Free [29]
B5	423-40	441-54	455-64 [2]	483-86	487-96	Strict [6]
	<u>x1'+Adagietto</u>	<u>x1'x1</u>	<u>x1'(P6ths)</u>	<u>B(P8ths)</u>	<u>B(P6ths)</u>	Free [68]
	B	B	B	<u>x1'</u>	x1'+X	
				W		
A3 (497-525):		A				Free [29]
B6	526-80					Free [55]
	BB					

<u>X (augmented)+Z</u>						
s'						
A4 (581-622): AA						Free [42]
C4 (623-710): Adagietto						Free [88]
Coda	711-26	727-48	749-74	775-9	780-91	Free [60]
	<u>B</u>	B(fauxbourdon),	<u>Y</u>	<u>B</u>	BB, A(s')	Strict [21]
	<u>A (s')</u>	s,	A(s')	<u>A(s')</u>		
	B			B		
Total						Strict [69]
						Free [638]

In section A1, both themes A and W enter imitatively (shown as AA and WW in Diagram 7). Section B1 consists of the contrapuntal combinations of themes B and Y at mm. 64-78 in the strings, which create extensive invertible combinations. Then the third voice enters with theme Z' in the flute above the combination of B and Y (m. 79). In the last statement of theme B at m. 95, invertible counterpoint occurs again in the flute and bassoon with themes B and Y, the third voice of X and Z is shifted to theme X in the horn. In section B1 the invertible counterpoint steadily occurs in the combination of themes B and Y although the third voice, Z', Z, or X, is added, as shown in Example 11.

Example 11: Invertible Counterpoint in Section B1

58

6 6 6 3 6 6 6 4 6 3 6 8 4 4 4 6 6 6 6 8 3 6

68

72 Y Vn I

2 5 5 3 5 7 5 5 5 5 2 5 5 4 4

Vla

76

3 3 3 4 3 3 3 5 3 6 3 8 3

Violin I (fl. vn. I) part: **Z'**

Violin II (vn. II) part: **Y** and **X2'**

Bass (bs.) part: **B** and **vc.**

Violin II fingerings: 3 6 6 4 6 8 6 5 6 6 3 6 6 4 4 8

95 B fl. 6 3 3 5 3 8 3 4 3 3 6 3 3 8 6 8

Y ba. X

5 3 8 3

8

9

Here, the invertible counterpoint occurs in a quite complex way: the two voices are not only exchanged in their positions, but both are transposed: first, theme Y is transposed up to an eleventh and theme B is first transposed down, then up and down to a twelfth. Thus, at mm. 63-6 and m. 72-5 the sum of the intervals is 8 (except for the second measure and its corresponding measure, m. 64 and m. 73); and at the following measures, mm. 67-70 and mm. 76-9, the sum of the intervals changes to 9:

mm. 63-6; 72-5				mm. 67-70; 76-9			
6-3-3-5	3-8-3-4	3-3-6-3	3-4-4	//	6-6-6-3	6-6-6-4	6-3-6-8 4
2-5-5-3	5-7-5-5	5-5-2-5	5-4-4	//	3-3-3-4	3-3-3-5	3-6-3-1 3

In the next statement of the combination of themes B and Y, invertible counterpoint occurs at the octave, but only in the first part (mm. 79-82 and mm. 95-8); then, the counterpart of theme B is recombined with Z, X, which also

replaces Y in free counterpoint.

In section **B2** the new contrapuntal combination of themes B and X' occurs yet again in free counterpoint. Section **B3** shows freer development in the treatment of themes, such as the addition of a new theme in the middle of the combination of themes B and X (m. 273); at the same time, the combination is shifted to B and Z. At m. 286 the augmented form of the modified sub-section of theme X (x2') is added to the combination of B and Z, yet not in strict invertible counterpoint because the contour of B is altered. However, these combinations have the qualities of both voice exchange and thematic augmentation, so they still qualify as strict counterpoint. Compared to the previous section, **B2**, Mahler placed great emphasis on the various multiple combinations of themes, rather than the two-part strict invertible counterpoint seen in the previous section.

Example 12: Contrapuntal Combinations in Section B3

The musical score for Example 12 is presented in two systems. The first system, measures 273-276, features the Violin I (Vn I) part playing theme X and the Violoncello (Vc) part playing theme B. The second system, measures 277-280, features the Oboe, Clarinet, and Horn (Ob. Cl. Hn.) parts playing theme Z, the Violoncello (Vc) part playing the augmented form of theme X (X2'), and the Violoncello (Vc) part playing theme B. The score is in 3/4 time and D major.

236 Vn I
aug X2'
Vla
B
Bss
Z

The contrapuntal web grows steadily denser with melodic fragments weaving and changing through numerous modulations. Section **B4** shows strict counterpoint only in the opening of each phrase. It consists of combinations of theme B and the inverted motive s' (s'i) with slight modification: the first two are composed of the combination in two measures (mm. 339-40) in B major and its voice exchange with theme B, transposed to the seventh above (mm. 350-52) in Ab major. While the former two parts enter simultaneously, the latter enter successively at the distance of half a measure. Further, in the third combination the previous two combinations are superimposed and produce three-part contrapuntal combinations with the two Bs entering in imitation and s' returning to the tonic (mm. 357-59).

Example 13: Strict counterpoint in section B4

The image displays three staves of musical notation, each representing a different section of a musical score. The first staff, labeled with measure numbers 339 and 350, shows the Violoncello (Vns) and Violoncello (Vc) parts. The second staff, labeled with measure numbers 350 and 357, shows the Violoncello (Vn 2) and Violoncello (Vla) parts. The third staff, labeled with measure numbers 357 and 423, shows the Violoncello (Vn 1), Violoncello (Vn 2), Violoncello (Vc), and Contrabassoon (Contra Bn) parts. The notation includes various musical symbols such as notes, rests, and accidentals, with labels for instruments and measures.

Section B5 shows the most varied contrapuntal technique; here, themes are maximally intertwined. In the first statement of theme B (m. 423), the combination B and x1' occurs, and x1' is transformed into the theme of section C, thus in turn making a connection to the Adagietto movement.

Example 14: Contrapuntal Combination in Section B5

423 via

X1'

vc

B

434 ob

435

from Adagietto

439 via

441 hn

X1'

vc

B

bn. bass

X1'

inverted

445

In the second combination (m. 441), $x1'$ and the partly inverted $x1'$ enter in imitation, surrounding theme B in the middle voice. In the third statement (m. 455), $x1'$ enters imitatively in the trumpet and trombone with theme B, while the inversion of $x1'$ ($x1'i$) occurs in the higher instruments. The $x1'i$ in the high register appears in octave doublings with the oboe, first violin, clarinet, and second violin. Thus at mm. 457-8 a brief moment of invertible counterpoint at the octave is produced between themes $x1'i$ and $x1'$.

The final statement of section B5 provides strict invertible counterpoint between B in the octave doubling and $x1'$ (mm. 483-86), as shown in **Example 15**.

The invertible counterpoint develops to the climax (m. 487), which consists of theme B in parallel motion reminiscent of fauxbourdon in the full woodwinds and strings, accompanied by themes x1' and X in the brass. At the end of theme X, motive s' is extended with whole notes and finally transformed into the beginning of theme A (Example 16).

Example 15: Invertible counterpoint in section B5

Vn 1., pic., ob., cl.

Vn 2., vla

hn

tp 1

vc

8 4 6 5 2 3 3 3 8 3 2 6 3

5 3 4 2 3 3 3 1 3 2 3 4

Example 16: Parallel motion and theme A

The musical score for Example 16 is a complex orchestral arrangement. It begins with a measure marked '487' and a 's.' (sempre) marking. The score is divided into three systems. The first system includes Violins I, Violins II, Violas, Cellos, and Double Basses. The second system includes Flutes, Oboes, Clarinets, Bassoons, Horns, Trumpets, Trombones, Tuba, and Euphonium. The third system includes Double Basses. The score features a descending tetrachordal motive s' that enters at m. 491 in the brass and is varied by shifting accents and finally resolved to the augmented form of the original s' at m. 494. The score is marked with '487' and 's.' at the beginning of the first system.

As shown in **Example 16**, when the descending tetrachordal motive s' enters at m. 491 in the brass, it is varied by shifting accents and finally is resolved to the augmented form of the original s' at m. 494. The diverse operation with one motive or theme in polyphonic writing is reminiscent of polymorphous counterpoint, which is the highest form of contrapuntal writing.²²

²² Prout defines "polymorphous canon" as a canon in which the same subject is capable of being

In section B6 (m. 538), theme B enters imitatively in three parts in the strings, while theme X occurs in the brass with motive s' as an ostinato in the bassoons and string bass. Here, motive s' belongs to theme X and is augmented to half note values. The augmented s' again leads to the A section at m. 581 (Example 17).

Example 17: Themes B and X, and motive s' in section B6

The musical score for Example 17 is presented in two systems. The first system includes parts for A-Klar., Flg., and Contrab. (labeled 24). The second system includes parts for P-Märcher, Posaunen I & II, Trombe, Violoncello, Violon, Viola, Violon, and Bass (labeled 24). The score shows various musical notations, including notes, rests, and dynamic markings like 'f' and 'pp'. The text 'poco a poco cresc.' is written below the bassoon and string bass parts.

worked in many different ways, such as augmentation, diminution, inversion, retrograde, shift of accent, alteration of the time value, and the insertion of passing notes. See his *Double Counterpoint and Canon*, 249.

714

The musical score for measures 714-718 is arranged in three systems. The first system contains five vocal staves: Soprano (Sopr.), Alto (A-Alt.), Tenor (Ten.), Bass (Bass), and Contralto (Contralt.). The second system contains five instrumental staves: Flute (Fl.), Trumpet (Tromp.), Percussion 1 (Percussion 1), Percussion 2 (Percussion 2), and Percussion 3 (Percussion 3). The third system contains five instrumental staves: Violin (Viol.), Viola (Viola), Violoncello (Violoncello), Double Bass (Double Bass), and Double Bass (Double Bass). The score is written in 4/4 time and features complex counterpoint with octave doublings in the woodwinds and strings.

With the octave doublings of theme B in the woodwinds and strings, the chorale passage creates the most extensive invertible counterpoint in this movement.

Example 19: Invertible counterpoint in the Coda

711

8 4 3 2 2 7 3 4 4 7 4 8 3 2 2 8 4 5 6 4 3 5

tb tp

8 5 6 7 7 2 6 5 5 2 5 8 6 7 7 8 5 4 3 5 6 4

775 fl. ob. vns

3 4 4 4

tp

8 7 7 7

vc

(5) Summary

When she first heard the Fifth, Alma complained about the Chorale at the end of the Rondo-finale as followed:

When he had done, I told him of all that won my instant love in this magnificent work, but also that I was not sure about the chorale at the end. I said it was hymnal and boring. He disagreed. 'Yes, but Bruckner –' he protested. 'He, yes; but not you,' I said, and on the way down through the wood I tried to make clear to him the radical difference between his nature and Bruckner's. I could not feel he was at his best in working up a church chorale.²³

²³ Alma Mahler, *Mahler*, 47-8; *Erinnerungen*, 74: Als er fertig war, sagte ich ihm alles, was ich an diesem herrlichen Werk augenblicklich lieben musste, zugleich aber auch meine Bedenken

Williamson refuted Alma's complaint by saying that chorale is one of Mahler's "constants," and it occurs as "a process of conflict and growth Mahler intended, once achieved at the end."²⁴ In my point of view, Mahler employed the chorale passage not only as an apotheosis, as he had in previous symphonies,²⁵ but also with the intention of dissolving all contrasting elements through the culmination of his techniques in strict counterpoint and polymorphous counterpoint. Williamson's "process of conflict" corresponds to manifold polarities that I have shown, and his "growth," to inner dynamics generated from the degree of strict or free polyphonic writing.

The "new style" that Mahler intended in the Fifth is obviously the technique of strict counterpoint and its consequences, presented through repeated sections reminiscent of Baroque cyclic form: "It is kneaded through and through till not again of the mixture remains unmixed and unchanged." It is also obvious that Mahler vividly achieved his idea of constant change and progression in thought and expression in the Scherzo and Rondo-Finale by the use of very intricate combinations. His compositional use of contrapuntal technique, however, reached its highest degree of complexity in the first movement of the Eighth Symphony, which we will now consider.

betreffs des Chorals am Schluss. Dieser kirchliche, uninteressante Choral! Er widerstritt, sagte: "Aber Bruckner!" Darauf ich: "Der darf, Du nicht!" Und ich versuchte beim Hinuntergehen durch den Wald, ihm den Wesensunterschied zwischen seiner Natur und der Bruckners klarzulegen. Seine Stärke lag, meiner Empfindung nach, ganz woanders als im Einarbeiten eines kirchlichen Chorals.

²⁴ John Williamson, "Liszt, Mahler and the Chorale," *Proceedings of the Royal Musical Association*, 108 (1981-2), 123.

²⁵ For example, the choral conclusion of the "Resurrection" Symphony.

CHAPTER FIVE:

Polymorphous Fragments and Invertible Counterpoint In the Eighth Symphony

Mahler himself considered the Eighth Symphony his major compositional achievement.¹ Specht recalled a conversation with Mahler about the symphony in Salzburg (August, 1906):

Just think, within the last three weeks I have completed the sketch for a totally new symphony, something that makes all my other works seem like preparatory efforts. I have never composed anything like this. In content and style it is altogether different from all my other works, and it is surely my greatest accomplishment. I have probably never worked under such compulsion: it was a vision that struck me like lightning. The whole immediately stood before my eyes; I had only to write it down, as if it had been dictated to me.... This Eighth Symphony is noteworthy, for one thing, because it combines two works of poetry in different languages. The first part is a Latin hymn and the second nothing less than the final scene of the second part of *Faust*. Are you surprised? I had longed to combine the hermit scene and the Finale with the *Mater Gloriosa* in a way that would be different from all the sugary, weak ways it has been done, but I had forgotten all about it. Then the other day I came across an old book. I opened it to the hymn *Veni Creator Spiritus*, and immediately the whole thing was there: not only the first theme, but the entire first movement. In response to this I could not possibly find anything more beautiful than Goethe's words in the hermit scene! Its form is also something altogether new. Can you imagine a symphony that is sung throughout, from beginning to end? So far I have employed words and the human voice merely to suggest, to sum up, to establish a mood.... But here the voice is also an instrument. The whole first movement is strictly symphonic in form yet is completely sung....²

¹ Specht, *Mahler*, 304.

² Specht in the *Tagepost* (Vienna), No. 150 (June 14, 1914). Here, I used the quotation as translated in Floros, *The Symphonies*, 214.

In the Eighth Symphony, La Grange noted that, in the Eighth, Mahler combined “two wings as dissimilar as possible, like the two texts themselves, which belong to two languages, two cultures, and two epochs far removed from each other.”³ With huge musical forces – the expanded orchestra, two mixed choruses, a chorus of boys, and seven soloists – Mahler explored the extreme contrast between the Latin and German languages, and between sacred and secular texts – in short, the contrast between Medieval ecclesiastics and German Romantic humanism. On one hand, he treated the text of the first movement, *Veni Creator Spiritus*, in a mostly contrapuntal fashion; on the other hand, he treated the final scene of *Faust* in the second movement in the traditional homophonic German Romantic style – although both movements are intertwined through thematic development.

According to La Grange, Mahler was aware of a pre-existent link between Goethe and the Christian Pentecost hymn.⁴ At the end of his life, Goethe translated the hymn into German verse, and the translation appears in his complete works. Goethe sent it to his friend, the composer Karl Friedrich Zelter, together with a message asking him to set it to music, “so that it could be sung by a chorus in front of my house every Sunday.” Goethe also mentioned the hymn several times in his correspondence. Not surprisingly, Mahler was attracted to the idea of musically portraying subjects that were opposites – an idea which would have pleased Goethe. The following study will discuss the presentation of this

³ La Grange, *Mahler*, Vol. 3, 907.

⁴ Goethe wrote about the hymn, that “The splendid church hymn is actually an appeal to genius; hence its powerful appeal to intellectually active and able people, too.” See *Maximen und Reflexionen*, no. 182, quoted by Dieter Borchmeyer in “Gustav Mahlers Goethe und Goethes Heiliger Geist,” *Nachrichten zur Mahler Forschung* 32 (1994), 18.

polarity in light of contrapuntal writing in the symphony's first movement.

1. Current Scholarly Literature on Counterpoint in Mahler's Eighth Symphony

Many scholars have related the contrapuntal style and the form of the first movement in the Eighth Symphony to Renaissance or Baroque church music. La Grange noted the connection of Mahler's contrapuntal style to the Flemish polyphonists who had played an essential role in the music of the Austrian Empire. He added that, "not only does the strict counterpoint of the *Veni Creator* recall their work but also the use he [Mahler] makes of vocal timbre, melody, and harmony to reflect the meaning of the words – in the '*Infirma nostri corporis*' for example – harks back to the traditions of Renaissance and Baroque music, as does the use of a rising motif for the '*Accende lumen*.' La Grange draws a very specific connection to Baroque music, noting that, "by using a double mixed chorus, Mahler also established a link with the antiphonal music of Venice – also popular in Austria at the beginning of Baroque period – and with Bach's *St. Matthew Passion*. With its polychoral effects, the Eighth Symphony thus looks back, beyond Bach, to the Venetian works written for the church of San Marco by the Gabriellis and others."⁵

In addition, many scholars have stressed the fugal aspect of this symphony. For example, Williamson cites the finale of Mozart's *Jupiter* Symphony, the double fugue in the last movement of Beethoven's Ninth, and Bruckner's Fifth, as precursors of Mahler's Eighth, though he also notes that

⁵ La Grange, *Mahler*, Vol. 3, 890.

Mahler's use of fugue is more structurally intricate than these earlier works.

Within Mahler's output, he views the Eighth as a logical successor to the Fifth but understands the fugue itself as having a somewhat traditional structure:

As a whole [the fugue] is hardly to be analyzed in Bachian terms yet is sufficiently close to the textbook models to warrant some consideration within the canons of orthodoxy....Its beginning paraphrases the opening of the whole work, with an Eb major organ chord, followed by the two main ideas of the first group as subjects. The answer is real and in the dominant. The combination of all seven soloists at this point on the *Veni Creator Spiritus* theme in octaves is the vocal equivalent of Mahler's block woodwind unisons, equal in carrying-power to the cluster of oboes and clarinets that accompanies them. There is a semblance of a counter-subject. The third entry with the voices in the tonic takes place at figure 48. A codetta of sorts between 49 and 50 leads to a middle section. Mahler thus writes a reasonably orthodox three-part fugal exposition, though there is increasingly little pretence that he intends to deprive himself of more than three contrapuntal voices should he want them.... The ensuing section as far as figure 55 contains traditional devices such as augmentation, inversion, and stretto while moving out of the exposition's traditionally circumscribed tonal range. The fugal procedures combine elements of heterophony with the appearance of Bachian counterpoint, neither of which is out of place in a Mahler development. The whole is more strictly fugal than the finale of the Fifth Symphony.⁶

Mitchell identified Mahler's setting of *Veni creator* of the Eighth with the style of motet performed at the Vienna première of the Fifth:

I believe the model of Mahler's great opening hymn to have been Bach's motet, and perhaps especially "Singet dem Herrn ein neues Lied," a work that clearly excited him. It seems to me not at all improbable or far-fetched to attribute the energy of the hymn, its flexible response to the text and above all its unceasingly busy and brilliant contrapuntal invention to the influence of Bach. (One wonders too if the prominent role of the organ in the Eighth was not also Bach-derived.) *Veni Creator Spiritus*, indeed, can usefully be approached as a form of monumental motet, whose chain of strophes reflects the mental textures: a massive invocation of, and summons to, the 'Creator Spirit' – to creative inspiration itself.⁷

⁶ John Williamson, "Mahler and *Veni Creator Spiritus*," *Music Review* 44 (1983), 33.

⁷ Mitchell, *Mahler*, Vol. III, 533-4.

Regarding the double fugue in this movement, he adds:

The march, a double fugue (from figure 46) culminates in the restatement of E major and 'Accende' (figure 55) and thence propels us into the return of *Veni Creator Spiritus* and the tonic major (figure 64). Perhaps only Mahler could have successfully brought off a march that combines its function as a kind of theatrical *marcia trionfale* (the enemy routed) with a show of counterpoint that has the tradition, and example, of Bach's motets behind it.⁸

Most scholars regard the contrapuntal writing of the Eighth as lineage of *Kindertotenlieder*, and the Scherzo and Rondo-Finale of the Fifth, while the first movement of the Eighth became more expanded and strict than any other movements. Scholars compare the polyphonic style of the movement to the Renaissance and Bachian style even though it shows Mahler's unique approach of contrapuntal writing.

2. The Notion of the Polymorphous Canon and Mahler's Form

The Pentecostal hymn *Veni Creator Spiritus* was most likely written by Hrabanus Maurus, a Benedictine monk living in Mainz, around 809.⁹ According to the explanation of Deryck Cooke, the hymn is more than a humble Christian prayer for personal salvation in another world. It is concerned with "Pentecost – the great moment of inspiration, when the Holy Spirit descended and spoke in many tongues through the mouths of the Apostles." In other words, it is concerned with "the time when the Christian faith itself was at its most dynamic,

⁸ *Ibid.*, 540-1.

⁹ Heinrich Lausberg, "Der Hymnus *Veni Creator Spiritus*," in *Jahrbuch der Akademie der Wissenschaften in Göttingen 1969* (Göttingen, 1969), 26, quoted in Floros, *The Symphonies*, 218.

and it suggests the march of men towards higher things.”¹⁰ A copy of *Veni Creator Spiritus* written in Mahler’s hand has survived, and it contains some repetitions and the addition of the Doxology at the end.¹¹ The text of the hymn, as set by Mahler, is presented below:¹²

Veni Creator Spiritus Mentes tuorum visita	Come, creator spirit; Dwell in our minds,
Imple suprema grátia Quae tu creasti pectora.	Fill with divine grace The hearts of thy servants.
Qui Paraclitus diceris, Donum Dei altissimi,	Thou named the Comforter, Gift of God most high,
Fons vivus, ignis, caritas Et spiritalis unctio.	Source of life, fire, love, And soul’s anointing.
Infirma nostri corporis Virtute firmans perpeti,	Our weak frames Fortify with thine eternal strength,
(Infirma nostri corporis Virtute firmans perpeti,)	
Accende lumen sensibus, Infunde amorem cordibus.	Illuminate our senses, Pour love into our hearts.

¹⁰ Deryck Cooke, “The Word and the Deed, Mahler and his Eighth Symphony,” in *Vindications: Essays on Romantic Music* (Faber & Faber, London, 1982), 114.

¹¹ The photocopy of Mahler’s copy of the text is provided in Mitchell’s *Mahler, Vol. III*, 510. For Mahler’s substantial changes to the text, see Strasser-Vill, *Vermittlungsformen*, 135-8 and Stefan Strohm, “Die Idee der absoluten Musik als ihr (ausgesprochenes) Programm,” *Schütz-Jahrbuch* 4-5 (1982-3), (Bärenreiter, Kassel, 1983), 82-91.

¹² I used the translation of the hymn provided by Deryck Cooke in his *Gustav Mahler: An Introduction to his Music* (London: Faber & Faber, 1980), 95-6.

Hostem repellas longius,
Pacemque dones protinus.

Scatter the foe,
Grant us thy peace.

Ductore sic te praevio,
Vitemus omne pessimum.
Tu septiformis munere,
Dextrae paternae digitus.
Per te sciamus da patrem,
Noscamus atque filium,
Te utriusque spiritum
Omni tempore.

Our leader, go before,
That we may shun all evil.
Grant us thy sevenfold blessing,
Thou right hand of the Father.
Grant us thy knowledge of the Father,
And of the Son,
And of thee, O Spirit,
Now and evermore.

(Accende lumen sensibus
Infunde amorem cordibus)

(Veni Creator Spiritus
Qui Paraclitus diceris,
Donum Dei altissimi,
Da gaudiorum praemia,
Da gratiarum munera.
Dissolve litis vincula,
Adstringe pacis foedera,
(Ductore sic te praevio,
Vitemus omne pessimum.)

Grant the foretaste of bliss,
Grant us thy saving grace.
Free us from bonds of strife,
Binds us with pacts of peace,

Gloria Patri Domino,
Natoque qui a mortuis,
(Deo sit gloria
Et filio qui a mortuis)¹³
Surrexit, ac Paraclito
In saeculorum saecula.

Glory be to God the Father,
And to the Son, who from the dead

Arose, and to the Paraclite,
From everlasting to everlasting.

¹³ These lines were added by Mahler using the same words but replacing "Domino" with "Deo," and 'Nato' with 'Filio'. See La Grange, *Mahler*, Vol. 3, 895. Perhaps the fewer syllables were easier to set for him.

(1) Form and Tonal Structure

The form of the movement is analyzed based on sonata form as Mahler himself noted; however, it displays numerous irregularities.

Diagram 1: Form and Tonal Structure in *Veni Creator Spiritus*¹⁴

EXPOSITION

1-20	Theme A1, A1', Ac	Eb M	T
21-30	Theme A2, x (scalar figure with the eighth-notes)		
31-45	transition		
46-108	Theme B	DbM-AbM	bSubT-SD
108-22	Theme A1, Aci	Eb	T
124-41	Interlude, A1', y (rocking figure with eighth-notes)	EbM-Dm	T-subt
141-68	Closing section A1, Ac, A1'i	Dm-V/EbM	subt-T

DEVELOPMENT

169-216	Interlude, A1'	AbM	SD
217-53	A1'(dim), y, Ac	C#m-F-DM	bsubt-ST-SubT
254-61	Interlude Stretto with A1'	CM-EM	SM-Np
262-290	<i>Accende</i>	EM-DM-EM	Np-SubT-Np
290-313	<i>Hostem</i> , x	Em	bst
314-66	Double fugue, A1', A2	EbM-roving -AM	T-A2#SD(SD/Np)
366-412	<i>Accende</i> , A1', B	EM-BbM	Np-D

RECAPITULATION

413-31	A1	EbM	T
431-74	Ac, A1', B(451-3)	BbM-AbM	D-SD

¹⁴ As in the indications used in the preceding Chapter, 'Ac' means the counterpart of theme A and 'Aci' the inversion of Ac.

474-88	Closing section A1', Ac	AbM	SD
488-507	Interlude Stretto with A1'	AbM-EM-EbM	SD-Np-T
CODA			
508-18	A1'	DbM-Bbm/M	bSubT-D
519-40	A1, A2	BbM-EbM	D-T
541-80	A1	EbM	T

As shown in **Diagram 1**, the movement is clearly divided into Exposition, Development, Recapitulation, and Coda; and the Exposition consists of the main theme, transition, contrasting subordinate theme, and the closing section. The tonal structure can also be interpreted using sonata-allegro principle: the secondary key area appears with the subordinate theme B in bSubT and SD region, and T comes back in the Recapitulation. Also, the two contrasting themes A and B clearly show contrast in the traditional sense: while the main section are sung by both choirs, *fortissimo*, in homophonic, homorhythmic writing, the secondary theme is sung by soloists with soft dynamic means and imitative polyphonic writing. However, the movement shows some irregularities in view of the sonata principle: the two main themes, A1 and A2, are contrasting; the secondary theme B is followed by a transition that brings back the first main theme; the closing section is followed by an orchestral interlude in the Exposition, and the secondary theme appears only fragmentarily in the Recapitulation. Also, the recurrence of the first main theme implies the cyclic nature of this movement, and its variants such as A1', and the *Infirma* and *Accende* themes, along with Ac and A2, play a major role, particularly in the Development, where they appear in

alternating fashion.

(2) Themes

In the main section there are two main themes, A1 and A2. Theme A1 in both choirs occurs in unison after an Eb major chord in the organ and is imitated by its variant A1' in the trombone. In the second statement of the theme (m. 8), A1 is antiphonally presented with its counterpart Ac, just as in Bach's motet, "Singet dem Herrn" (compare Chapter 4, **Example 1**). At m. 21 the other main theme, A2, appears with the counterpoint of the eighth-note scalar figure (x) in the tonic and shares the first line of the hymn, *Veni Creator Spiritus*, with theme A1. After the transition to A1', the lyric and imitative second theme occurs in Db major. **Example 1** shows the themes of the movement and their relationship.

Example 1: Themes and their relationship

The image displays four staves of musical notation, each representing a different theme. The first staff, labeled 'A1', is in treble clef and 3/4 time, showing a sequence of notes and rests. The second staff, labeled 'A1'', is in bass clef and 3/4 time, showing a similar sequence. The third staff, labeled 'Accende', is in treble clef and 3/4 time, showing a sequence of notes and rests. The fourth staff, labeled 'Infirmi', is in treble clef and 3/4 time, showing a sequence of notes and rests. Each staff contains a sequence of notes and rests, representing different themes in the music.



Mahler particularly emphasized the *Infirma* and *Accende* themes, both derived from the main theme A1 in the Development, alternating with the instrumental interludes. The instrumental stretto consists only of A1' and leads the movement to its culmination. Then the double fugue, which uses the A1' and A2 themes, begins in invertible counterpoint with the combination of A1' and A2; and the fugue continues, so that the two themes are juxtaposed in various forms for the line *Ductore sic te praeviso*. In the recapitulation the theme Ac, closely related in rhythm to A2, is varied and combined. In contrast, the secondary theme B only briefly occurs in the development and recapitulation as a counterpart of the other themes. Consequently, the dichotomy between the main theme and the secondary theme established in the Exposition disappears in the course of the Development, in which the textural contrast between theme A1, A2, and its variants is prominently explored in both vocal and instrumental parts, including the techniques of stretto and double fugue.

(3) Polarities in Key Regions

The polarity of key between the first and second themes is the most unorthodox digression from sonata-allegro principle. Since the secondary key area occurs in two regions in **bSubT** and **SD**, the polarity between the main and secondary key areas is differentiated and weakened. Furthermore, the main theme recurs in **T** after the secondary theme. In the overall structure, secondary tonality is neither the third-related key to the tonic, as is often seen in Mahler's symphonies, nor is it in **bSubT** or **SD**; instead, it is the Neapolitan in E major. The secondary key area occurs only midway through the Development in a remarkable breakthrough of *Accende* (mm. 261-7).

Unlike the conventional development of sonata form, E major is repeatedly achieved by alternation with the tonic: the recurrence of the *Accende* section occurs in **Np** in alternation with instrumental sections in **T**. Even the instrumental stretto of the Recapitulation occurs in **Np** by way of **SD** and resolves in **T**. In other words, **T** frequently comes back, particularly in alternation with **Np** both in the Development and Recapitulation through **SD**.

Diagram 2: The Polarities in Key Regions

EXPOSITION

T—————**bSubT**—SD—————(subt)—————**T**

DEVELOPMENT

SD—————**Np**—————**T**—————**Np**—————**V/T**

RECAPITULATION

T————D-----SD————Np————T

CODA

bSubT-----D—————T

As shown in **Diagram 2**, the main polarity of the movement lies in **T** and **Np** as repeatedly emphasized in both Development and Recapitulation. Mahler imposes the main polarity between **T** and **Np**, Eb major and E major, in the Development in more pronounced ways by placing the key relationship back-to-back, accompanying the text, "Illuminate our senses, Pour love into our hearts."¹⁵ The Recapitulation the polarity of **T** and **SD** is mitigated by the other polarity of **T** and **D**, and again the progression of **SD** and **Np** occurs in the instrumental stretto. Here, for the third time, there is an arrival in E major. Mahler made the final move into that key with tremendous force by repeating the same progression of regions and by using his highly developed contrapuntal technique to create the climax of the movement.

Schoenberg was amazed by the monotonal structure of *Veni Creator*, noting "how often this movement comes back to Eb major."¹⁶ For the contrasting

¹⁵ At the rehearsal of the work in Munich in 1910, Mahler said to Webern regarding the verse "accende lumen sensibus" that "here the bridge is drawn to the close of *Faust*. This is the crux of the entire work." Mahler translated this text as "enlighten our senses (Mach hell unsere Sinne)," while Goethe translated it as "light the lights of our senses (Den Sinnen zünde Lichter an)." Both emphasized "light" in their translation and made it the crux of the hymn. See Moldenhauer, *Anton von Webern*, 121, and Borchmeyer, "Mahlers Goethe," 19.

¹⁶ Schoenberg, *Style and Idea*, 460.

key area of the movement, Hermann Danuser particularly noticed Mahler's choice of E major, in a movement written predominantly in Eb major, its upper-neighbor motion suggesting 'transcendence' in such moments as *Accende lumen*.¹⁷ It is not surprising that this polarity of key is highlighted by the use of contrapuntal writing.

(4) Polarities in Strict and Free Counterpoint

Mahler uses different textures and techniques of contrapuntal writing in *Veni Creator Spiritus* to construct its tonal dynamic. **Diagram 3** shows the overall polarities in free and strict counterpoint, along with a few passages of homophonic texture corresponding to verses of the hymn.

Diagram 3

EXPOSITION

1. Veni Creator Spiritus

Mentes tuorum visita
Imple superna grátia
Quae tu creasti pectora

Veni Creator Spiritus
Imple superna grátia

Theme A1: Homophonic

A1'+A1: Free

A1+Ac: Free

A2+x: Strict

Transition - A1'

Theme B: Free

Theme A1, A1': Free

¹⁷ Danuser also suggested that in the *Faust* movement, E major occurs in "Höchste Herrin" and the appearance of the *Mater Gloriosa*. See his "Der Goethe-Interpret Mahler," in *Gustav Mahler: The World Listen, Muziek und Wetenschap, Dutch Journal of Musicology* 5 (1995-6), 277. Dieter Schnebel was also concerned about such E major outbursts or climaxes comparing them to that of the first movement of the Second (at m. 116) and the *Poco Adagio* of the Fourth. See his "Das Spätwerk als Neue Musik," in *Gustav Mahler* (Tübingen: Rainer Wunderlich Verlag, 1966), 160.

Quae tu creasti pectora

Interlude - A1': Free

[2. Qui Paraclitus diceris,
Donum Dei altissimi,
Fons vivus, ignis, caritas
Et spiritalis unctio.]

3. Infirma nostri corporis
Virtute firmans perpeti,

Closing section – A1, Ac, A1'i

DEVELOPMENT

(Infirma nostri corporis
Virtute firmans perpeti,)

Interlude – A1': Free

A1': Free

Accende lumen sensibus,
Infunde amorem cordibus.

Interlude – A1'(stretto): Strict

A1 (invertible counterpoint): Strict

4. Hostem repellas longius,
Pacemque dones protinus.
Ductore sic te praeviso,
Vitemus omne pessimum.

Hostem+x: Free

A1'+A2 (Double fugue): Strict

5. Tu septiformis munere,
Dextrae paternae digitus!

6. Per te sciamus da patrem,
Noscamus filium
Credamus spiritum
Omni tempore.

(Accende lumen sensibus A1+A1': Free

Infunde amorem cordibus)

RECAPITULATION

(1. Veni Creator Spiritus)

A1: Homophonic

[2. Qui Paraclitus diceris,

A1', Ac: Free

Donum Dei altissimi,]

7. Da gaudiorum praemia,

Ac+A1': Free

Da gratiarum munera.

Dissolve litis vincula,

Adstringe pacis foedera

(Ductore sic te praevio,

Closing section - A1', Ac: Free

Vitemus omne pessimum.)

Interlude – A1'(stretto): Strict

CODA

Gloria Patri Domino,

A1', A1: Free

Natoque qui a mortuis,

B: Free

(Deo sit Gloria

A2: Free

Et filio qui a mortuis)

Surrexit, ac Paraclito

In saeculorum saecula.

As shown in **Diagram 3**, homophonic texture with both choirs occurs only in the opening *Veni Creator Spiritus* of the Exposition and the Recapitulation. The strict counterpoint, particularly the double fugue, is concentrated in the Development and enclosed by both *Accende* verses. Also, the stretto of A1' occurs just before the *Accende* and at the end of the Recapitulation with more extended form and in polymorphous structure, in which the only subject A1' is capable of being worked in many different ways such as augmentation, diminution, retrograde, inversion, and permutation.¹⁸ The content of the text corresponding to the double fugue section is the most "bellicose" part of the hymn,

¹⁸ Prout, *Double Counterpoint and Canon*, 249.

in La Grange's words: "Our leader, go before, that we may shun all evil."¹⁹

Further, the double fugue section consumes two and a half verses of the text in only 53 measures. Also, as shown in **Diagram 3**, there are important symmetries, with the *Accende* framing the hymn's central part: Stretto-*Accende*-Double fugue-*Accende*. **Diagram 4** provides the contrapuntal variation of each section and the proportions of strict and free counterpoint in detail.

Diagram 4: Polarities in strict and free counterpoint

EXPOSITION						
1-5	6-8	8-13	14-21	22-31[4]	31-45	Homophonic [5]
A1	<u>A1</u> A1'	<u>Ac</u> A1	<u>A1</u> A1'	<u>x</u> <u>A2</u> X	<u>A1</u> A1'	Strict [4] Free [36]
46-75	76-9	80-9	89-103	104-8		Free [63]
BB	A2	AcAc	BB	Ac		
108-12		113-5		116-23		Free [16]
A1		A2'		AciAci		
124-33		134-41				Free [18]
A1'A1'		y A1'				
141-62		162-5		166-8		Free [28]
<u>A1</u> Ac		A1(aug)		A1'iA1'I		
DEVELOPMENT						
169-216						Free [48]

¹⁹ La Grange, *Mahler*, Vol. 3, 917.

A1'A1'						
217-22	223-7	227-30	231-51	252-3	Free [37]	
Y	y	A1'A1'	<u>A2'</u>	<u>B</u>		
A1'	Ac		A1'	A1'(dim)		
254-61					Strict [8]	
A1' (stretto)						
262-75	275-82	282-90	290-301	302-11	Strict [8]	
<u>A1'</u>	<u>amorem</u>	A1'	<u>Hostem</u>	<u>Hostem i, A2</u>	Free [42]	
<u>Accende</u>	A1'		x	x		
A1'						
314-19	320-6	327-33	333-43	343-9		
<u>A2'</u>	<u>A1'</u>	<u>A2A2</u>	<u>A2A2</u>	<u>A1'A1'(aug)</u>		
A1'	A2	A1'A1'	A1'A1'	A2A2		
(invertible counterpoint)		(Double Fugue)				
349-54	355-60	360-6	Strict [46]			
<u>A2A2</u>	<u>A2A2</u>	<u>A2(aug)</u>	Free [7]			
A1'A1'	A1'A1'	A1'				
366-82	382-8	389-407	408-13	Free [48]		
<u>Accende</u>	<u>B</u>	<u>A1'</u>	<u>A2</u>			
A1'	A2	A1'i	A1'(dim)			
RECAPITULATION						
413-6	417-8	419-32	433-41	441-51	451-3	453-74 474-88
A1	A1'	<u>Ac</u>	AcAc	<u>Ac</u>	BB	A1'A1' B, A1, Aci
		A1		A1'		
						Homophonic [4]
						Free [72]
488-507					Strict [20]	
A1' (stretto)						

CODA						
508-11	512-8	519-25	525-7	528-80	Free [73]	
<u>A2'i</u>	<u>A2'i</u>	<u>Ac</u>	B	Ac, A1'A1'		
A1'	<u>A1'(aug)</u>	A1'				
	A1'(dim)					
Total				Homophonic [9]		
				Strict [86]		
				Free [485]		

(5) Strict Counterpoint and Polymorphous Fragments

The techniques of strict counterpoint applied in this movement can be divided in three different ways: invertible counterpoint, which occurs at the entrance of theme A2 (m. 22), at the entrance of the *Accende* theme (m. 262), and in the opening of the double fugue section (m. 314, 320); double fugue (mm. 327-60); and the instrumental stretto in polymorphous structure (m. 254, 488).

Example 2 shows the polymorphous fragments in free style in the opening of the movement. The unison chorus of theme A1 is followed by two instrumental lines: first by A1' in the trombone and then by A1'' in the trumpet. Both A1' and A1'' are altered forms of the original A1 with irregular augmentation and diminution. Regarding the contrapuntal operations of the same theme, the passage is written in a free polymorphous structure. The polymorphous structure will be developed further at the end of the movement.

Example 2: Polymorphous Fragments in the Opening

Example 3 shows the invertible counterpoint of theme A2 and the first *Accende* section.

Example 3: Invertible counterpoint of theme A2 and *Accende*

Theme A2 enters with the scalar figure of x, creating invertible counterpoint at the octave. The texture of strict counterpoint is highly distinguished to the homophonic entrance of the main theme, A1. In the culminating *Accende* section in E major, Mahler uses both choruses and soloists in unison for the entrance of the main theme, which is accompanied by descending figures in dotted rhythms. The invertible counterpoint here is produced between vocal and instrumental parts, thus accumulating tensions and anticipating the more complex interweaving of the double fugue to come.

The double fugue also begins with strict invertible counterpoint of themes A1' and A2, as shown in **Example 4**.

Example 4: Invertible counterpoint in the beginning of the double fugue section

The musical notation for Example 4 consists of two systems of staves. The first system, labeled with measure number 314, shows Theme A2 in the treble clef and Theme A1' in the bass clef. The second system, labeled with measure number 320, continues the counterpoint. Fingerings are indicated by numbers 1-5 below the notes.

System 1 (Measures 314-319):

- Theme A2 (Treble):** 8 4, 3 5 1 5, 2 4 6 8, 3 3 5, 5 6 6, 4
- Theme A1' (Bass):** 8 5, 6 4 8 4, 7 5 3 8, 6 6 4, 4 3 3, 5

System 2 (Measures 320-325):

- Theme A2 (Treble):** 8 5, 6 4 8 4, 7 5 3 8, 6 6 4, 4 3 3, 5
- Theme A1' (Bass):** 8 5, 6 4 8 4, 7 5 3 8, 6 6 4, 4 3 3, 5

After the invertible counterpoint of A1' and A2, the double fugue occurs successively in both choirs and the boys' choir with the same themes.

Example 5: Double fugue at m. 327

The image displays two systems of musical notation for a double fugue. Each system consists of four staves, likely representing different voices (Soprano, Alto, Tenor, Bass). The first system begins at measure 327, as indicated by the number above the first staff. The notation includes various musical symbols such as notes, rests, and accidentals, illustrating the complex interplay of the fugue's themes.

The double fugue in **Example 6** applies many operations of themes such as augmentation and inversion. However, fragments of the distinct counterpoints also proceed in such a manner as to suggest a polymorphous transformation of motivic fragments. For example, in m. 338 Bb-Ab-G in the tenor line imitates Bb-Ab-G (mm. 337-8) in the bass (indicated by α). The contour of the bass linear descent (mm. 338-40) from Eb to G is mirrored by the Eb-G linear descent in the upper line (mm. 339-40) (β). The opening of the upper line, Bb-C-Eb-G-Bb-C (mm. 337-8), is imitated in contour by Bb-C-Eb-G-Bb-C in the alto line. Such

complex inter-referencing of motivic fragments was less apparent in Mahler's earlier works such as the Scherzo or Rondo-Finale of the Fifth. The tightness of this structure shows that he had attained the highest level of strict contrapuntal virtuosity, the very skill that worried him as he composed the Scherzo to the Fifth.

Example 6: Double fugue at m. 333

The image displays a musical score for a double fugue, specifically at measure 333. The score is written for four staves, each with a different instrument or voice part. The key signature is B-flat major (two flats). The time signature is 3/4. The score is divided into three systems, each containing four staves. The first system starts at measure 333 and ends at measure 340. The second system starts at measure 341 and ends at measure 348. The third system starts at measure 349 and ends at measure 356. The score includes various musical notations such as notes, rests, and accidentals. Annotations include 'B.ch' (Bassoon), 'Ch.I' (Chorus I), 'augmentation of A2', 'inversion of A1', 'm.' (measure), 'bs.' (bass), and 'α' (alpha). The score is a complex contrapuntal work, showing the tightness of Mahler's structure.

Instrumental stretto is built with theme A1', and the theme shows manifold operations of augmentation, diminution, inversion, and rhythmic variation associated with a polymorphous canon. **Example 7** shows the second stretto in the recapitulation, which I will now discuss in detail.

Example 7-1: Instrumental stretto at m. 487

The musical score is divided into several systems, each with multiple staves. The instruments and parts are listed on the left side of each system:

- System 1:** Fl. (Flute), Ob. (Oboe), Cor. (Cor Anglais), Cl. in B. (Clarinet in B-flat), B. in B. (Bassoon), Fag. (Fagotto), K. Fag. (Kornett/Fagotto).
- System 2:** Hr. in F. (Horn in F), Trp. in F. (Trumpet in F), Trp. in F. 2. (Trumpet in F 2nd), Trp. in F. 3. (Trumpet in F 3rd), Tuba, Pk. (Percussion).
- System 3:** Sop. (Soprano), Alt. (Alto), Ten. (Tenor), Bar. (Baritone), Bass. (Bass).
- System 4:** I. CHOR. (First Choir), A. (Alto), T. (Tenor), B. (Bass), S. (Soprano).
- System 5:** II. CHOR. (Second Choir), A. (Alto), T. (Tenor), B. (Bass), S. (Soprano).
- System 6:** Viol. (Violin), Viola, Violoncello, Contrabasso.

The score includes various musical notations such as notes, rests, and dynamic markings. Key markings include:

- Tempo markings:** *Ritenuto.*, *a tempo*, *Ritenuto.*, *Molto rit.*
- Measure numbers:** 487, 488, 489, 490, 491, 492, 493, 494, 495, 496, 497, 498, 499, 500, 501, 502, 503, 504, 505, 506, 507, 508, 509, 510, 511, 512, 513, 514, 515, 516, 517, 518, 519, 520, 521, 522, 523, 524, 525, 526, 527, 528, 529, 530, 531, 532, 533, 534, 535, 536, 537, 538, 539, 540, 541, 542, 543, 544, 545, 546, 547, 548, 549, 550, 551, 552, 553, 554, 555, 556, 557, 558, 559, 560, 561, 562, 563, 564, 565, 566, 567, 568, 569, 570, 571, 572, 573, 574, 575, 576, 577, 578, 579, 580, 581, 582, 583, 584, 585, 586, 587, 588, 589, 590, 591, 592, 593, 594, 595, 596, 597, 598, 599, 600, 601, 602, 603, 604, 605, 606, 607, 608, 609, 610, 611, 612, 613, 614, 615, 616, 617, 618, 619, 620, 621, 622, 623, 624, 625, 626, 627, 628, 629, 630, 631, 632, 633, 634, 635, 636, 637, 638, 639, 640, 641, 642, 643, 644, 645, 646, 647, 648, 649, 650, 651, 652, 653, 654, 655, 656, 657, 658, 659, 660, 661, 662, 663, 664, 665, 666, 667, 668, 669, 670, 671, 672, 673, 674, 675, 676, 677, 678, 679, 680, 681, 682, 683, 684, 685, 686, 687, 688, 689, 690, 691, 692, 693, 694, 695, 696, 697, 698, 699, 700, 701, 702, 703, 704, 705, 706, 707, 708, 709, 710, 711, 712, 713, 714, 715, 716, 717, 718, 719, 720, 721, 722, 723, 724, 725, 726, 727, 728, 729, 730, 731, 732, 733, 734, 735, 736, 737, 738, 739, 740, 741, 742, 743, 744, 745, 746, 747, 748, 749, 750, 751, 752, 753, 754, 755, 756, 757, 758, 759, 760, 761, 762, 763, 764, 765, 766, 767, 768, 769, 770, 771, 772, 773, 774, 775, 776, 777, 778, 779, 780, 781, 782, 783, 784, 785, 786, 787, 788, 789, 790, 791, 792, 793, 794, 795, 796, 797, 798, 799, 800, 801, 802, 803, 804, 805, 806, 807, 808, 809, 810, 811, 812, 813, 814, 815, 816, 817, 818, 819, 820, 821, 822, 823, 824, 825, 826, 827, 828, 829, 830, 831, 832, 833, 834, 835, 836, 837, 838, 839, 840, 841, 842, 843, 844, 845, 846, 847, 848, 849, 850, 851, 852, 853, 854, 855, 856, 857, 858, 859, 860, 861, 862, 863, 864, 865, 866, 867, 868, 869, 870, 871, 872, 873, 874, 875, 876, 877, 878, 879, 880, 881, 882, 883, 884, 885, 886, 887, 888, 889, 890, 891, 892, 893, 894, 895, 896, 897, 898, 899, 900, 901, 902, 903, 904, 905, 906, 907, 908, 909, 910, 911, 912, 913, 914, 915, 916, 917, 918, 919, 920, 921, 922, 923, 924, 925, 926, 927, 928, 929, 930, 931, 932, 933, 934, 935, 936, 937, 938, 939, 940, 941, 942, 943, 944, 945, 946, 947, 948, 949, 950, 951, 952, 953, 954, 955, 956, 957, 958, 959, 960, 961, 962, 963, 964, 965, 966, 967, 968, 969, 970, 971, 972, 973, 974, 975, 976, 977, 978, 979, 980, 981, 982, 983, 984, 985, 986, 987, 988, 989, 990, 991, 992, 993, 994, 995, 996, 997, 998, 999, 1000.

494 **80** Breiter. **81** Wieder frisch.

1.2.3.4. Fl. *f* *dim.*

1.2.3.4. Ob. *f* *dim.*

Kgl. Mo. *f* *dim.*

Es-Kl. *f* *dim.*

1.2.3. Kl. in B. *f* *dim.*

B-Kl. in R. *f* *dim.*

1.2.3.4. Fag. *f* *dim.*

K. Fag. *f* *dim.*

Breiter. Schalltrichter auf. *f* *dim.* Wieder frisch.

Horn F. *f* *dim.*

Horn E. *f* *dim.*

1. Trp. in F. *f* *dim.*

2. Trp. in F. *f* *dim.*

3.4. Trp. in F. *f* *dim.*

1.2.3.4. Pos. *f* *dim.*

Org. *f* *dim.*

Vollen Werk *f* *dim.*

494 **80** Breiter. **81** Wieder frisch.

L.VI. *f* *dim.*

R.VI. *f* *dim.*

Br. *f* *dim.*

Vcl. *f* *dim.*

Kb. *f* *dim.*

The musical score is arranged in two systems. The top system includes staves for Flute (Fl.), Oboe (Ob.), Clarinet (Cl.), Bassoon (Fag.), Horn (Hr.), Trumpet (Tromp.), and Trombone (Tromb.). The bottom system includes staves for Violin (Vl.), Viola (Vla.), Cello (Vcl.), and Double Bass (Cb.). The notation is dense with notes, rests, and dynamic markings such as *ff* and *pp*. A box labeled '82' is positioned at the top center and bottom center of the page.

The key here changes from SD to Np (Ab major to E major) and returns to Ab major. While in the first Ab major section A1' is rather simply presented in the diminuted form of the theme, in the Eb major section, A1' is manipulated in its diminution, inversion, augmentation, and rhythmic variation within a brisk

modulation to Ab major. At m. 499 (figure 81) the theme is particularly varied in the most extended and diverse ways, just before the “Grant us thy sevenfold blessings” text of the double fugue section. The polymorphous relations within the lines here are remarkable. For example, as shown in Example 7-2, at m. 499 the second violin plays E-B-A (perfect 4th, minor 7th), and the basses reverse and invert the order of the line to E-A-B but preserve the intervallic content (perfect 4th, minor 7th). At m. 500 the horns begin with A-B-E, retrograding their original line with rhythmic alteration. Meanwhile, at m. 499 the bassoons, clarinet, and English horn, which appear with shifting accents, permute and chromatically alter the figure to B-E-D#-C#-B-A-A, in a line outlining in contour perfect 5th-major 7th-a linearized augmented 4th-octave. The trumpets answer at m. 501 with B-F#-E-D#-C#-B-B, a chromatic and linearized variant of the line in the bassoon, clarinet, and English horn.

Example 7-2: Polymorphous relations in stretto

The musical score for Example 7-2 shows five staves of music across three measures (499, 500, 501). The instruments are: Violin II (vn. II), Violin I (vn. I), Trumpet (tp), Bassoon, Clarinet, and English Horn (bn. cl. hn.), and Bassoon, Violoncello, and Double Bass (bs. vc.). The key signature is three sharps (F#, C#, G#). The music illustrates complex polymorphous relations between the instruments across the three measures.

Although there is no text, the degree of complexity in contrapuntal technique reaches in its highest point in the E major section, thus preparing for the “light” and “love” of the text at the *Accende*.

(6) Summary

This chapter has considered the influence of contrapuntal technique on the tonal form of the Eighth Symphony’s first movement. The movement is built around a tonal polarity of E and Eb major. The continuous alternation of these key areas climaxes in the Recapitulation and Coda where a double fugue appears – a move unprecedented in Mahler’s earlier works. The complexity of this fugue, with its extensive use of invertible counterpoint and particularly polymorphous fragments in permutation, diminution, retrograde, and inversion, show that Mahler did indeed become a master of strict contrapuntal technique – a matter he had questioned only a few years before, when he stated that “the ideal for the future would be composers who are excellent in the science of Bach’s polyphony.”²⁰ The complexity of the counterpoint at the end of the work produces a density of texture that contrasts with the rest of the movement, offering the tonal form a sense of expansion at its very end, the very essence of Mahler’s formal notion of *Steigerung*.

²⁰ See Chapter 1, p. 19.

Postscript

This dissertation has explored the connection of Mahler's work to the musical language of Johann Sebastian Bach. It has shown that this connection manifested itself not only in a very literal sense – performances and arrangements of Bach – but also in the sense of musical inspiration, particularly Mahler's penchant for intricate strict counterpoint in his middle-period song cycle and symphonies. What is fascinating about the relationship of the two composers is Mahler's internalization of Bach's techniques and the inner understanding that he combined with his profound belief in the nineteenth-century aesthetics of Goethe and Fechner. The wedding of Bach's techniques and Goethe's notion of polarity in artistic forms helped produce a music that is uniquely Mahler's. Mahler managed to incorporate his own extended chromatic procedures, monotonal form, and advanced orchestral procedures with the Baroque techniques so valued by his own era. My analyses of the *Bach/Mahler Suite*, *Kindertotenlieder*, and the Fifth and Eighth Symphonies have shown the compositional and technical care Mahler gave to his works, as well as his continued belief in the expansion of his own compositional craft. For it is the craft of counterpoint along with his aesthetic notions of polarity that helped Mahler take Bach's style of presentation and make it his own.

Appendix A:
Mahler's Performances of Bach's Works

Appendix A-1: 20 November 1889, Budapest

Hangversenybérlet II. szám.

Budapest, szombat 1889. november hó 20-án esti 7 $\frac{1}{2}$ órakor

a magyar királyi operaház zenekarából alakult filharmoniai társulat

BRAGA HERMIN

asszony, csász. és kir. kamaraénekesnő és

MAHLER GUSZTÁV

úr, a magyar kir. operaház művészeti igazgatója szíves közreműködésével

ERKEL SÁNDOR

karnagy vezénylete alatt

FILHARMONIAI HANGVERSENYT

rendez

A FŐVÁROSI VIGADÓ NAGY TERMÉBEN.

M Ű S O R :

1. *Cherubini*. »Abencerage«, nyitány.
2. *Mahler*. »Symphoniai költemény« két részben.
I. rész: 1. Bevezetés és Allegro comodo. 2. Andante. 3. Scherzo.
II. rész: 4. A la pompes funebres; attacca. 5. Molto appassionato.
Kézirat, első előadás a szerző vezénylete alatt.
3. *Mozart*. Magándal »Figaro lakodalmából«. (Cherubin dallama.)
Braga Hermin asszony.
4. *Bach-Albert*. »Präludium, choral és fuga«.

Jegyek kaphatók: Rózsavölgyi és társa es. és kir. udv. zeneműkereskedésében, Kristófiér 3., valamint a hangverseny napján az esteli pénztárnál.

Előadás alatt az ajtók zárva maradnak.

III-ik filharmoniai hangverseny 1889. decz. 4-én

Appendix A-2: 26 February 1894, Hamburg

* Concerthaus — Conventgarten. *

Montag den 26. Februar 1894, Abends 7½ Uhr pünktlich

IX. ABONNEMENT-CONCERT

GEDENKFEIER FÜR

HANS VON BÜLOW

Dirigent:

Kapellmeister Herr **Gustav Mahler**

(Mit gütiger Bewilligung des Herrn Hofrath Pollini).

Unter Mitwirkung eines Chores von Damen und Herren, unter Leitung
des Herrn **Julius Spengel**.

Orgel: Herr **Carl Armbrust**.

PROGRAMM.

1. Praeludium für Orgel u. Choral: „Wenn
ich einmal soll scheiden“. *J. S. Bach.*
2. Gedenkrede.
3. Zwei Chöre aus: „Ein deutsches Requiem“ *J. Brahms.*
I. „Selig sind, die da Leid tragen“.
II. „Denn alles Fleisch ist wie Gras“.
4. Sinfonie No. 3, Es-dur (Eroica) (1804) . *L. v. Beethoven.*
Allegro con brio. — Marcia funebre (Adagio
assai). — Scherzo (Allegro vivace), — Finale
(Allegro molto).

X. (letztes) Abonnement-Concert: Montag den 12. März 1894.

Dirigent: *Eugen d'Albert*.

Solisten: Frau Teresa d'Albert-Carreño und Frl. Katharina Rösing (Gesang).

Appendix A-3: 3 April 1896, Hamburg

Hamburger Stadt-Theater.

(Direction: B. Pollini.)

Donnerstag, den 2. April: Geschlossen.

Freitag, den 3. April 1896.

Vom Abonnement ausgeschlossen.

Anfang 7 Uhr.

Mit Bewilligung des hohen Senats.

Requiem von W. A. Mozart für Soli, Chor und Orchester. Die Soli gesungen von Fr. v. Artner, Fr. Schumann-Heink u. d. Hrn. Giehwein u. Hoffmann. Hierauf: 1. „Vater unser“ von Krebs, 2. Arie aus „Samson“ von Fändel („Hör' mein Flehen!“) Fr. Schumann-Heink. 3. Arie aus „Elias“ von Mendelssohn („So Ihr mich von ganzem Herzen sucht“) Herr Birkenloven. 4. Arie aus „Messias“ von Fändel („Ich weiß, daß mein Erlöser lebt!“), Fr. v. Wildenburg. 5. Engel-Terzett aus „Elias“ v. Mendelssohn, Fr. v. Artner, Fr. v. Wildenburg und Fr. Schumann-Heink. 6. Schluß-Chor aus „Matthäus-Passion“ v. Bach.

Dirigent: Herr Kapellmeister Gustav Mahler.

Preise der Plätze zu dieser Vorstellung:

1. Rang, Parquet und Parquetloge M. 3. —. 2. Rang-Mittelloge und 1. Parterre M. 2.50. 3. Rang-Seitenloge und 2. Parterre M. 2. —. 3. Rang-Mittelloge M. 1.50. 3. Rang-Seitenloge M. 1.20. Gallerie-Sitzplatz M. 1. —.

Anfang 7 Uhr.

Appendix A-4: 2 December 1900, Vienna

PHILHARMONISCHE CONCERTS.

Sonntag, den 2. December 1900.

Mittags präcise 1 1/2 Uhr,

im grossen Saale der Gesellschaft der Musikfreunde:

3^{tes} Abonnement-Concert

veranstaltet von den

Mitgliedern des k. k. Hof-Opernorchesters

unter der Leitung des Herrn

GUSTAV MAHLER,

k. u. k. Hofopern-Director.

PROGRAMM:

J. S. Bach Concert für Clavier in D-moll mit Streich-Orchester. —Clavier: Herr **Karl Friedberg.****L. v. Beethoven** .. Ouverture zu: „Leonore“ Nr. 2.**C. Franck** Symphonische Variationen für Clavier mit Orchester. —Clavier: Herr **Karl Friedberg.**

(1. Ausführung in den Philharmonischen Concerten.)

F. Smetana

Einleitung zur Oper: „Libussa“.

(1. Ausführung in den Philharmonischen Concerten.)

Symphonische Dichtung: „Vltava“.

(Aus dem Cyclus „Mein Vaterland“.)

Streich-Instrumente: **Gabriel Lemböck's** Nachfolger **Carl Haudeck.**Clavier: **Ehrbar.**

Programme unentgeltlich.

Das 4. Philharmonische Abonnement-Concert findet
am 16. December 1900 statt.

Verlag der Philharmonischen Concert-Unternehmung in Wien.

Druckerey: Wien, L. Dorotheergasse 7.

Appendix A-5: 10 November 1909, New York

This concert is the first of a series to be given on six Wednesday Evenings, the programmes of which are arranged in chronological sequence, comprising the most famous composers from the period of Bach to the present day.

Programme

BACH. Suite for Orchestra

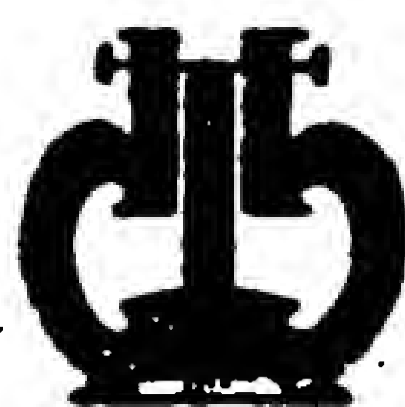
HANDEL. Aria, . "Quanto dolci," (from "Flavio")
MME. RIDER-KELSEY

BACH. Concerto for Violin, . . . No. 2, E Major
MR. THEODORE SPIERING

RAMEAU. . . . Rigaudon de "Dardanus"

GRETRY. Recitative and Air from "Cephale et Procris"

HAYDN. Symphony in D Major (B. and H. No. 2)



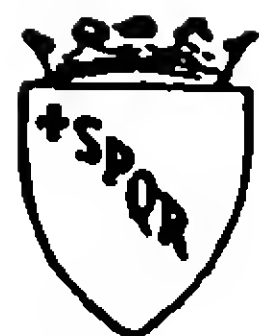
Mr. Mahler will play the Bach Klavier in the compositions of Bach and Handel.

ORGANIST:
MR. ARTHUR S. HYDE

PRINTED BY STYLES & CASH
NEW YORK.

Appendix A-6: 28 April 1910, Rome

Prezzo Cent. 10



AUGUSTEO

Municipio di Roma

Regia Accademia di Santa Cecilia



XLI.

Giovedì 28 aprile alle ore 9 pom.

PRIMO CONCERTO ORCHESTRALE

diretto da

GUSTAV MAHLER

PROGRAMMA.

1. BACH (MAHLER) - *Suite*.
 - a) *Ouverture*.
 - b) *Rondeau*.
 - c) *Air*.
 - d) *Gavotte*.
2. STRAUSS - *Till Eulenspiegel*.
3. WAGNER - *Siegfried Idyll*.
4. Id. - *Tannhäuser. Ouverture*.

PREZZI

Platea: Poltrone distinte L. 4.50 - Poltrone L. 2 - Sedie L. 1.50

Anfiteatro L. 1 - Galleria L. 0.75 - Palchi L. 25

(tutto oltre l'ingresso)

Ingresso Cent. 50 - Loggione Cent. 50

Spinetta fabbricata dalla Casa Steinway espressamente per il Maestro Mahler.

Domenica 1° maggio alle ore 5 pom. secondo concerto diretto da Gustav Mahler.

Roma - Cooperativa Tipografica Manuzio - Via di Porta Salaria, 21-A.

È VIETATO DI ENTRARE E DI USCIRE DALLA SALA DURANTE L'ESECUZIONE DEI PEZZI.

È VIETATO DI ENTRARE E DI USCIRE DALLA SALA DURANTE L'ESECUZIONE DEI PEZZI.

Appendix B-1: Christmas Oratorio

Flauto I.
Flauto traverso.
Oboe d'amore I.
Oboe d'amore II.
Oboe da caccia I.
Oboe da caccia II.
Violino I.
Violino II.
Viola.
Organo e Continuo.

The image displays a page of musical notation, page 215. It is divided into two main systems of staves. The top system consists of approximately 10 staves, but it is almost entirely covered by a dense, dark, and noisy pattern, likely due to a scanning artifact or intentional obscuring. The bottom system consists of 10 staves with clear musical notation, including notes, rests, and some handwritten markings. The notation appears to be for a multi-measure rest or a complex rhythmic pattern. At the bottom center, there is a small label "H.W.V (2)". At the bottom right, there is a small sequence of numbers: "1. 8 4 3 2 1 2 3".

This page contains two systems of musical notation. The first system consists of five staves, and the second system consists of six staves. The notation is dense and complex, featuring many notes, rests, and dynamic markings. The right side of the page is heavily obscured by a large, dark, textured area, likely a scanning artifact or a large mark on the original document. At the bottom center, there is a small text label: "B.W.V. 421".

The image shows a page of musical notation, likely from a manuscript or printed score. The page is numbered 217 in the top right corner. The notation is heavily obscured by a large, dark, textured area that covers the upper two-thirds of the page. The visible notation consists of several staves with notes and rests, located in the lower third of the page. The notation is written in a style that appears to be from the 19th or 20th century, with various note values and rests. The overall appearance is that of a heavily damaged or obscured musical score.

N.W.V. (2)

The image shows a page of musical notation, page 218. It features two systems of staves. The notation is heavily obscured by a large, dark, textured area on the right side, likely a scanning artifact or a large ink blot. The visible notation includes various musical symbols, notes, and rests. The first system consists of eight staves, and the second system consists of eight staves. The notation is written in a standard musical notation style, with notes, rests, and other musical symbols. The page number 218 is located in the top right corner.

The image shows a page of musical notation, page 219. The top half of the page is heavily obscured by a large, dark, textured area, possibly a scan artifact or a large ink blot. Below this, there are several staves of musical notation. The notation includes various notes, rests, and clefs. The bottom of the page features a series of small, handwritten numbers, likely a sequence of notes or a score, arranged in a row.

Handwritten numbers at the bottom of the page:

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42 43 44 45 46 47 48 49 50 51 52 53 54 55 56 57 58 59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 100

This image shows a page of handwritten musical notation, likely a score for a piece titled "Auffang". The notation is written on ten staves, arranged in two groups of five. The top group of five staves is heavily obscured by a large, dark, textured area, possibly a scan artifact or a large ink blot. The bottom group of five staves is clearly visible and contains handwritten musical notation, including notes, rests, and bar lines. The title "Auffang" is written in a cursive hand across the middle of the page, spanning several staves. The overall appearance is that of a vintage manuscript or a heavily processed scan of a handwritten score.

The image displays a page of musical notation, identified by the page number 221 in the top right corner. The page is divided into two main systems of staves. The top system, consisting of approximately eight staves, is almost entirely obscured by a large, dark, textured area that appears to be a significant scan artifact or a large ink blot. The bottom system, also consisting of approximately eight staves, is clearly visible and contains musical notation. This system includes various musical symbols such as clefs, notes, rests, and beams, indicating a complex musical composition. The notation is written in black ink on a light background. At the very bottom of the page, there is a small, faint text label that reads "C.A.A. (2)".

Appendix B-2: E Major Violin Sonata, Second Movement

Allegro.

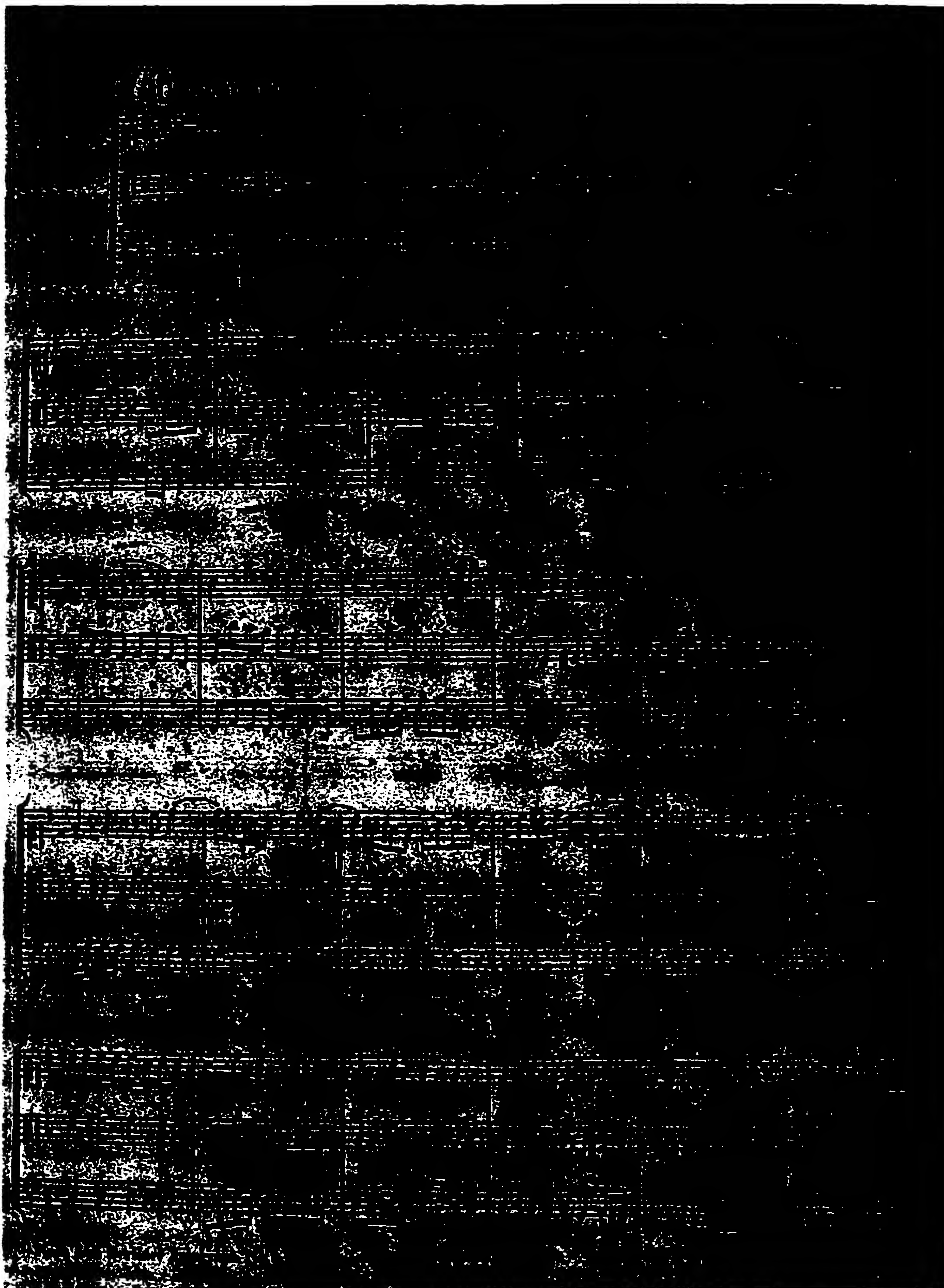
The image shows a page of musical notation for the second movement of an E Major Violin Sonata. The page is heavily degraded with noise and artifacts. It features five systems of staves, each with a treble and bass staff. The notation is mostly illegible due to the high level of noise, but some notes and rests are visible. The tempo marking "Allegro." is at the top left.

E Major Violin Sonata, Fourth Movement

This image displays a page of musical notation for the fourth movement of an E Major Violin Sonata. The page is numbered 223 in the top right corner. The music is arranged in four systems, each consisting of a grand staff (treble and bass clefs). The notation includes various musical symbols such as notes, rests, and slurs, indicating a complex melodic and harmonic structure. The paper shows signs of age, with some darkening and wear visible, particularly on the right side of the page.

This image shows a page of musical notation, likely a score for a piano or similar instrument. The page is divided into four systems of staves. Each system consists of a grand staff (treble and bass clefs) and a single bass staff. The notation is heavily obscured by a dense, dark, grainy texture, possibly due to a poor scan or intentional artistic effect. The notation itself appears to be a complex, fast-moving piece, with many notes and rests visible despite the noise. The page number '224' is visible in the top right corner.

This page contains four systems of musical notation, each consisting of three staves. The notation is dense, featuring many notes, rests, and dynamic markings. The first system includes a 'p' marking. The second system includes a 'p' marking. The third system includes a 'p' marking. The fourth system includes a 'p' marking. The notation is written in a style that suggests a piano or organ score. The page is numbered 225 in the top right corner.

Appendix B-3: *The Art of Fugue*

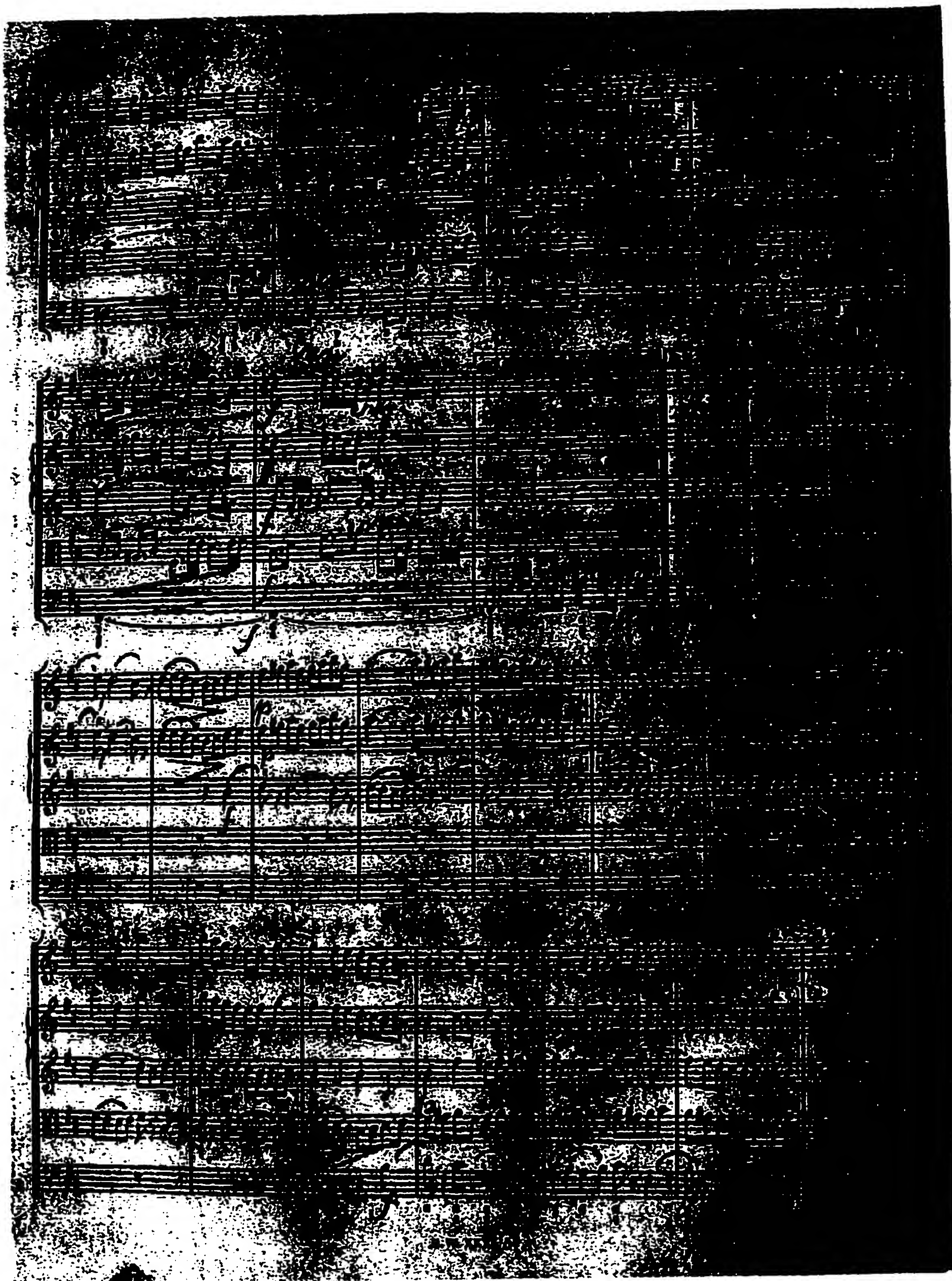
Appendix C:
Orchestral Suites BWV 1067 and 1068

Appendix C-1: Overture in Suite No. 2, BWV 1067

OVERTURE

Violino I
Violino II
Viola
Contrabasso

The image displays a musical score for the Overture in Suite No. 2, BWV 1067. The score is written for four instruments: Violino I, Violino II, Viola, and Contrabasso. The title "OVERTURE" is prominently displayed at the top. The score is organized into three systems, each containing four staves. The notation includes various musical symbols such as clefs, time signatures, and note values, though the specific details are somewhat obscured by the high contrast of the image. The overall layout is typical of a printed musical score, with the instrument names listed on the left and the corresponding staves to their right.



Handwritten musical score on page 230, featuring four systems of staves. The notation includes notes, rests, and various annotations. The first system is marked with a large '16' in the top left corner. The second system has a 'Cresc' annotation above it. The third system has a 'piano' annotation below it. The fourth system has a 'Fogel' annotation above it. The score is written in a cursive, handwritten style, and the page is heavily marked with ink and has a grainy, aged appearance.

Handwritten musical score for "L'Orfèvre" by L. Delibes. The score is written on four systems of staves. The first system is for the Flute (Flûte). The second system is for the Piano (Piano). The third system is for the Violin (Violon). The fourth system is for the Clarinet (Clarin). The score includes various musical notations such as notes, rests, and dynamic markings like "piano" and "forte".

This image shows a page of musical notation, likely a score, with four systems of staves. The notation is heavily obscured by noise and artifacts, making it difficult to read. The page is numbered 232 in the top right corner. The notation includes various musical symbols such as notes, rests, and bar lines. The first system has a treble clef and a key signature of one sharp (F#). The second system has a treble clef and a key signature of one sharp (F#). The third system has a treble clef and a key signature of one sharp (F#). The fourth system has a treble clef and a key signature of one sharp (F#). The notation is written in a style that is common in the 19th or 20th century. The page is heavily degraded, with a large amount of black noise and artifacts covering the notation.

This page of musical notation, numbered 233, contains four systems of staves. The notation is dense and appears to be a transcription of a handwritten score. The first system shows a treble and bass staff with various notes and rests. The second system includes the word "piano" written below the staff. The third system begins with the word "(Solo)" above the staff, followed by "piano" written below. The fourth system continues the musical notation. The page is heavily marked with dark, irregular ink or dirt, particularly on the right side, which obscures some of the notation. The overall appearance is that of an old, possibly damaged, manuscript or printed score.

Handwritten musical score on page 235, featuring four systems of staves. The notation includes various notes, rests, and dynamic markings. The first system includes markings such as *pp* and *sf*. The second system includes *mf* and *sf*. The third system includes *sf* and *sfz*. The fourth system includes *sf* and *sfz*. The score is written in a cursive, handwritten style.

Handwritten musical score on page 235, featuring four systems of staves. The notation includes various notes, rests, and dynamic markings. The first system includes markings such as *pp* and *sf*. The second system includes *mf* and *sf*. The third system includes *sf* and *sfz*. The fourth system includes *sf* and *sfz*. The score is written in a cursive, handwritten style.

Appendix C-2: Rondeau in Suite No. 2, BWV 1067

The image displays a musical score for the Rondeau in Suite No. 2, BWV 1067. The score is presented in three systems, each consisting of a treble and bass staff. The notation is dense and appears to be a photocopy or a high-contrast scan of a printed score. The word "Rondeau" is visible on the first system. The image is heavily degraded with noise and artifacts, making it difficult to read the specific notes and rests.

This image shows a page of musical notation, likely a score, with four systems of staves. The notation is heavily obscured by noise and artifacts, making it difficult to read. The page number 237 is visible in the top right corner. The musical notation includes various notes, rests, and bar lines, but the details are lost due to the high level of noise and contrast. The page is divided into four systems, each containing multiple staves. The notation is dense and complex, suggesting a high level of musical detail. The overall appearance is that of a heavily degraded or corrupted scan of a musical score.

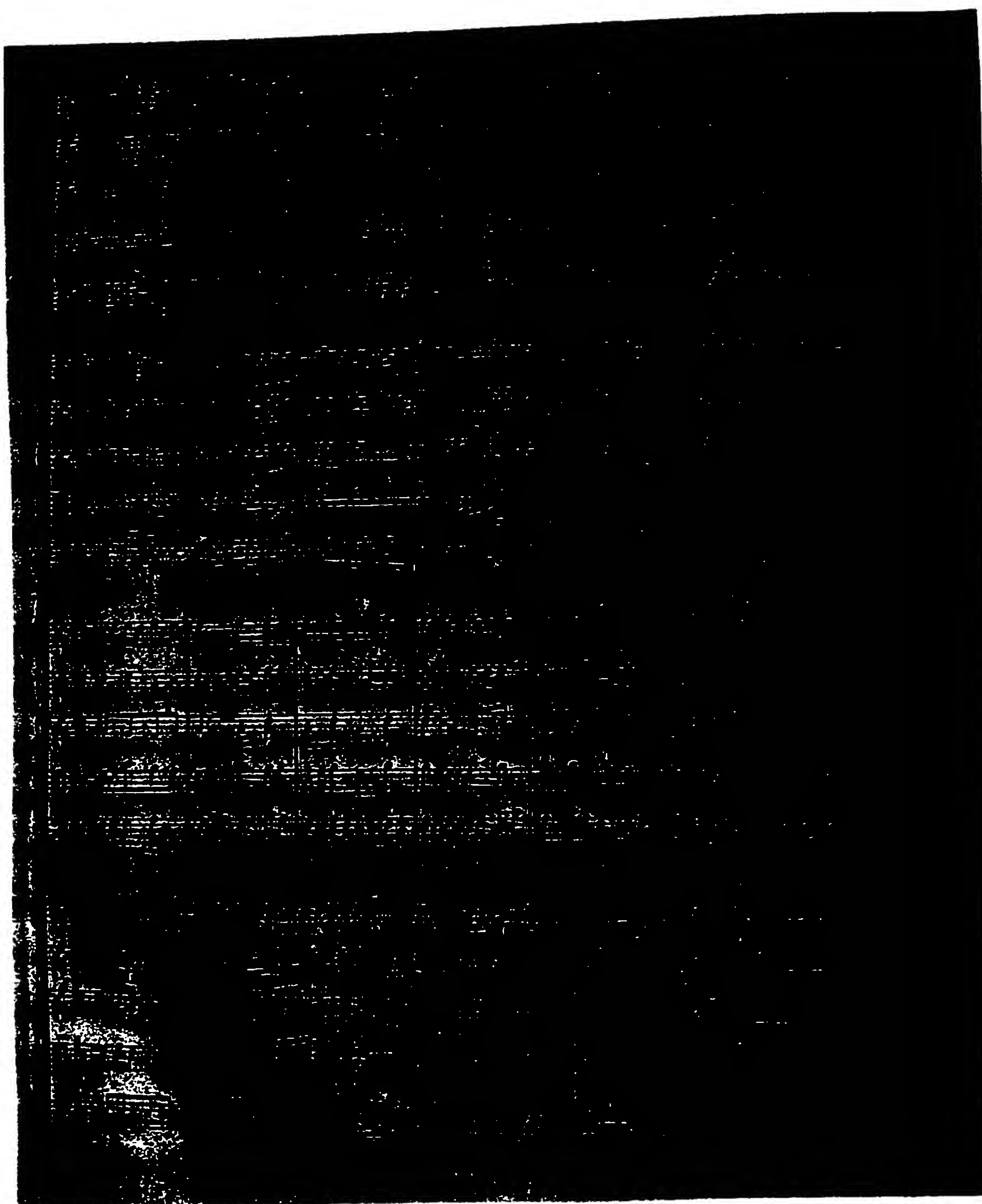
Appendix C-3: Badinerie in Suite No. 2, BWV 1067

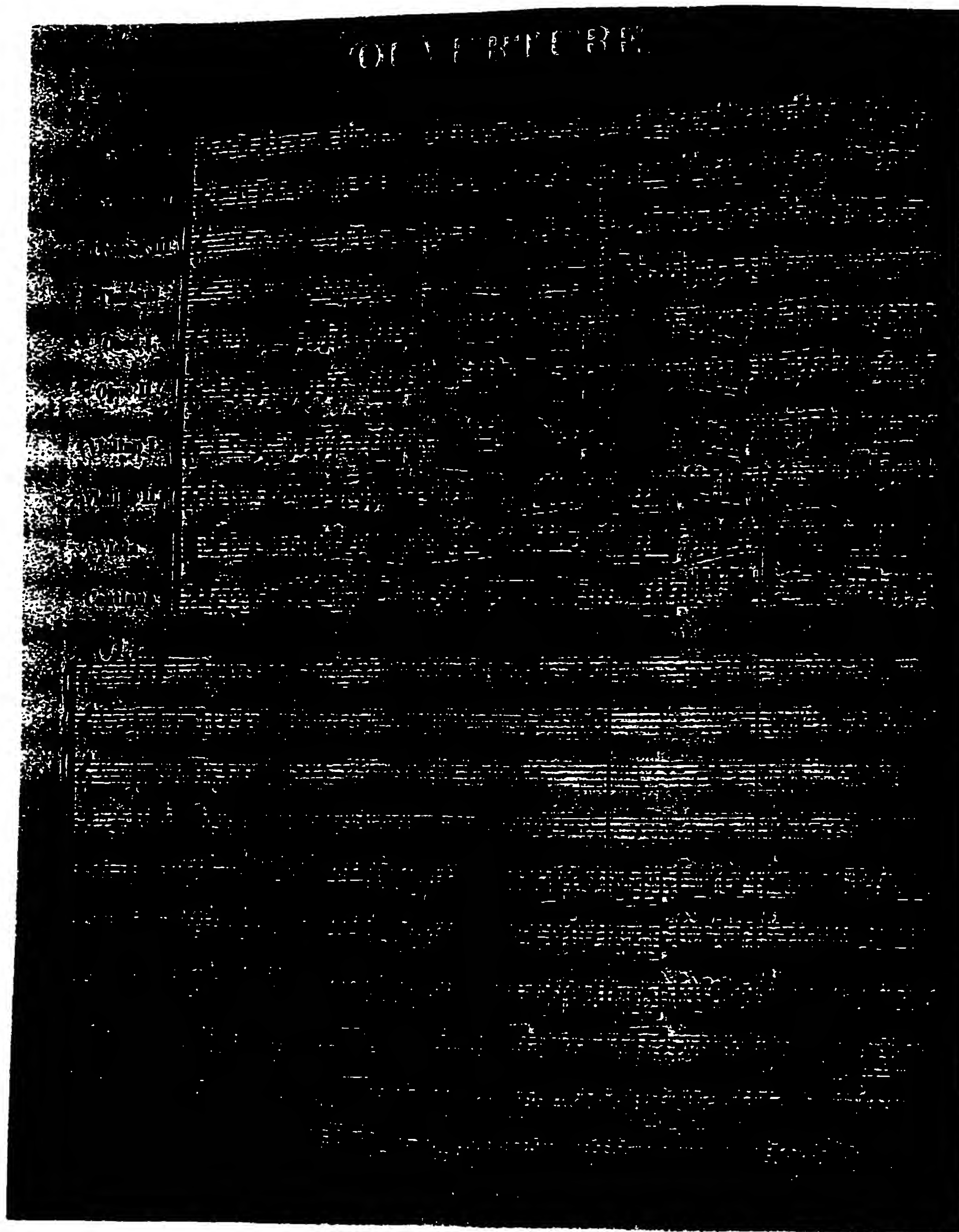
Badinerie.

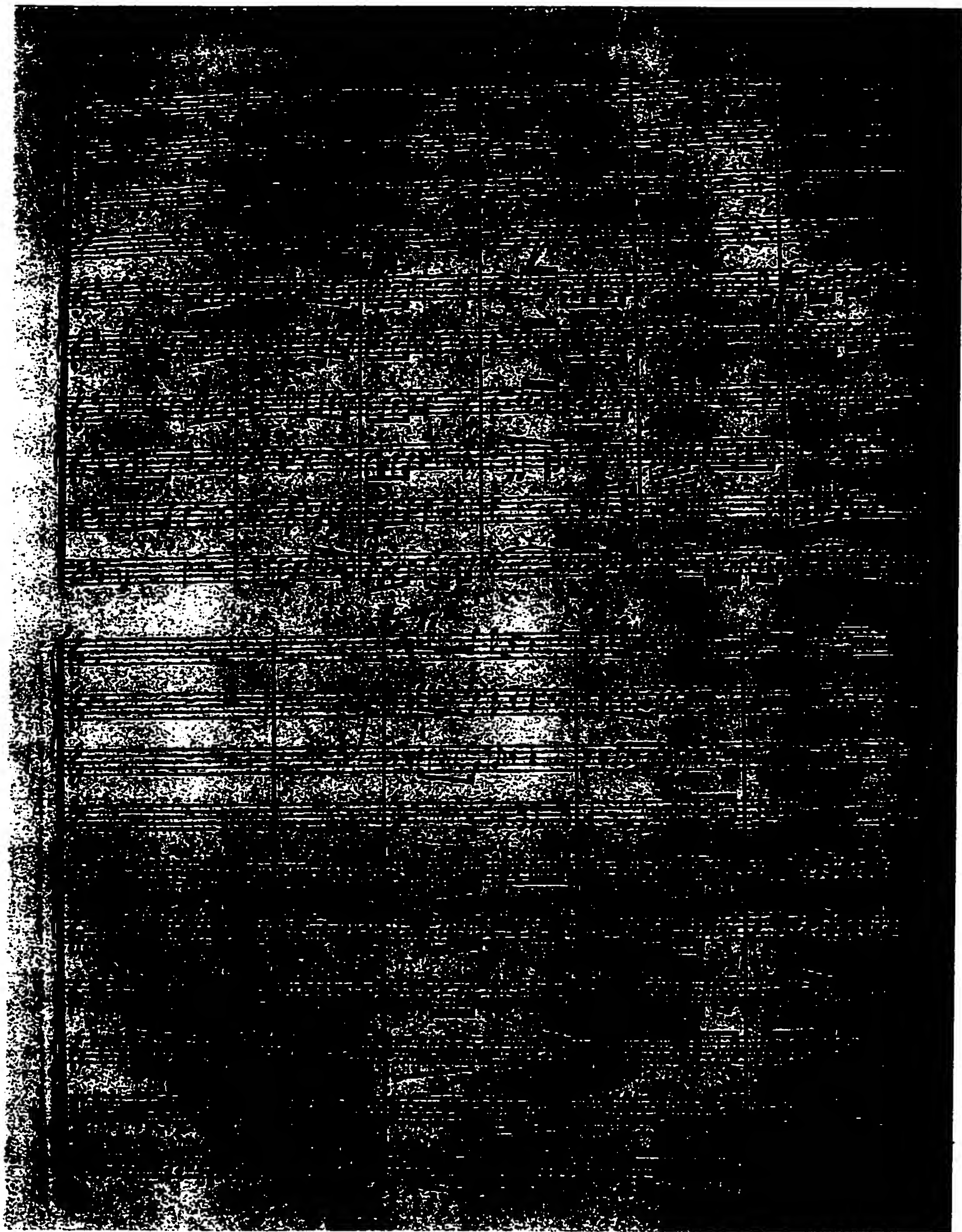
Pizzicato

Trio

21



Appendix C-4: Ouverture in Suite No. 3, BWV 1068



Appendix C-5: Air in Suite No. 3, BWV 1068

This image shows a page of musical notation for the Air in Suite No. 3, BWV 1068. The page is heavily obscured by a dense, dark, grainy texture, likely due to a poor quality scan or a heavy filter. The notation is arranged in four staves, labeled on the left as Violin I, Violin II, Viola, and Continuo. The music is written in a standard staff format with notes, rests, and other musical symbols. The overall appearance is very dark and noisy, making it difficult to discern specific musical details.

Appendix C-6: Gavotte in Suite No. 3, BWV 1068

IV Gavotte I.

Tromba I.
Tromba II.
Tromba III.
Timpani.
Oboe I.
Oboe II.
Violino I.
Violino II.
Viola.
Continuo.

N.W. 1111. (9)

A handwritten musical score on two systems of staves. The top system consists of eight staves, with the first four staves containing dense musical notation, including notes, rests, and dynamic markings such as *p*, *f*, and *pp*. The bottom system also consists of eight staves, with the first four staves containing musical notation and the last four staves being mostly empty. A circled number '1' is visible at the end of the first system. The page is numbered '244' in the top right corner.

1

W. W. G. (10)



Gavotte II.



A handwritten musical score on two systems of staves. The top system consists of six staves, and the bottom system also consists of six staves. The notation is dense and includes various musical symbols such as notes, rests, and dynamic markings. A circled '2' is visible at the beginning of the top system. The bottom system features several instances of the word 'cres' (crescendo) written below the staves. The handwriting is somewhat messy, and there are some ink smudges and corrections throughout the score.

Handwritten musical score on two systems of staves. The notation includes various musical symbols, including notes, rests, and dynamic markings. A circled '2' is visible at the beginning of the top system. The bottom system features several instances of the word 'cres' (crescendo) written below the staves. The handwriting is somewhat messy, and there are some ink smudges and corrections throughout the score.

58

Handwritten musical score for a piece titled "Gavotte L. da Capa". The score is written on ten staves, with the first three staves for the upper right hand and the remaining seven for the lower right hand and left hand. The notation includes various musical symbols such as notes, rests, and dynamic markings like *p* (piano) and *pp* (pianissimo). The piece is marked with a forte *f* at the beginning.

f *pp* Gavotte L. da Capa.

Bourrée.

Handwritten musical score for a piece titled "Bourrée". The score is written on ten staves, with the first three staves for the upper right hand and the remaining seven for the lower right hand and left hand. The notation includes various musical symbols such as notes, rests, and dynamic markings like *p* (piano) and *pp* (pianissimo). The piece is marked with a forte *f* at the beginning.

Appendix C-7: Autograph pages for the Continuo part in the Gavotte

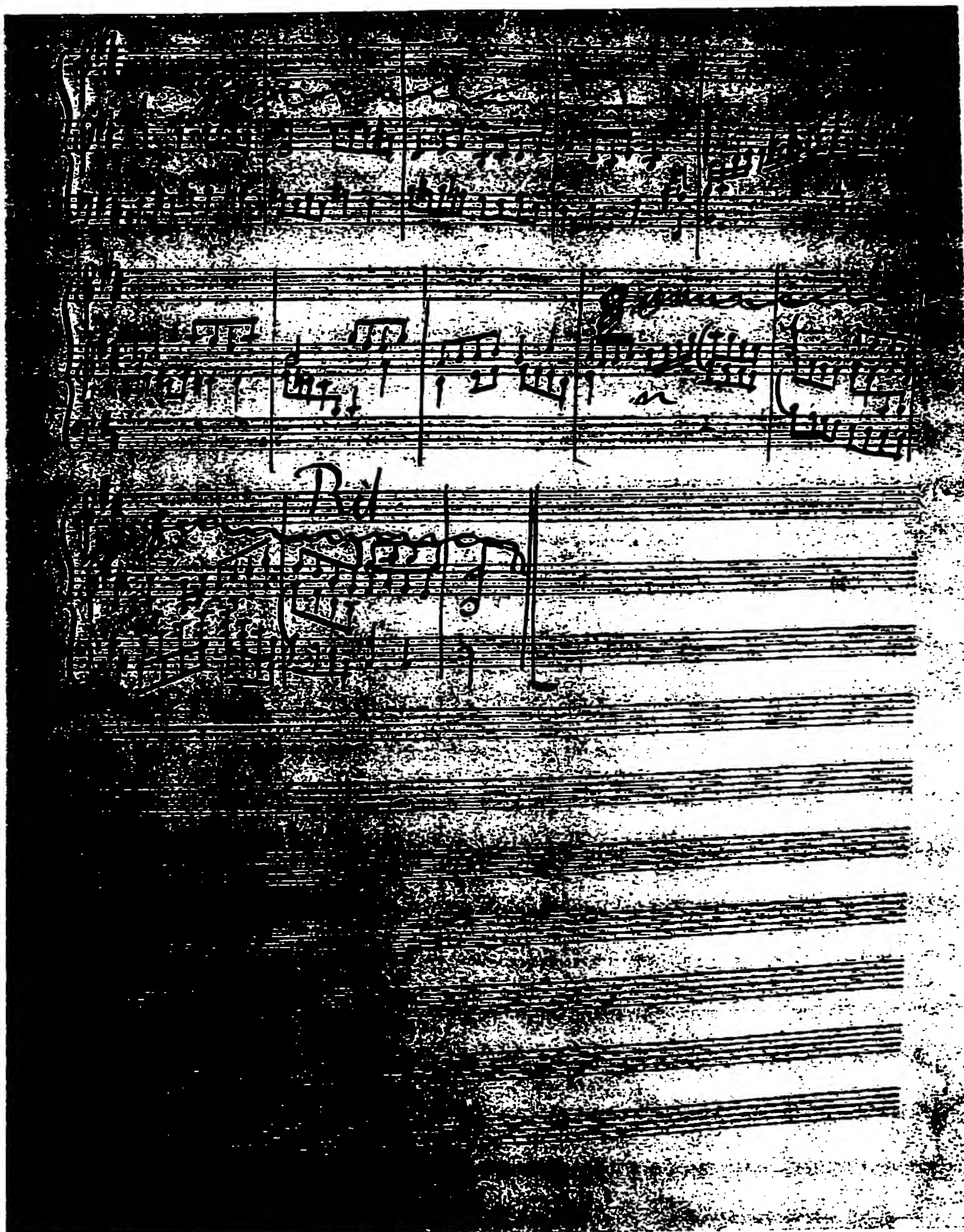




A handwritten musical score on five staves. The notation is dense and includes various musical symbols such as notes, rests, and dynamic markings. The first staff begins with a treble clef and a key signature of one sharp (F#). The second staff has a treble clef and a key signature of one sharp. The third staff has a treble clef and a key signature of one sharp. The fourth staff has a treble clef and a key signature of one sharp. The fifth staff has a treble clef and a key signature of one sharp. The score is written in a cursive, handwritten style. At the bottom right, there is a signature that reads "a. Vase" and the word "Lent" below it. There is also a large, stylized flourish or signature to the right of the text.

Mark the Character

The musical score is written on six systems of two staves each. The notation includes various musical symbols such as notes, rests, and dynamic markings like 'p' (piano). The handwriting is in ink on aged paper.



Appendix D:

Johann Wolfgang von Goethe: "The Metamorphosis of Plants"

Thou art confused, my beloved, at seeing the thousandfold union
 Shown in this flowery troop, over the garden dispersed;
 Many a name dost thou hear assigned; one after another
 Falls on thy listening ear, with a barbarian sound.
 None resembleth another, yet all their forms have a likeness;
 Therefore a mystical law is by the chorus proclaimed;
 Yes, a sacred enigma! Oh, dearest friend, could I only
 Happily teach thee the word, which may the mystery solve!
 Closely observe how the plant, by little and little progressing,
 Step by step guided on, changeth to blossom and fruit!
 First from the seed it unravels itself, as soon as the silent
 Fruit-bearing womb of the earth kindly allows its escape,
 And to the charms of the light, the holy, the ever-in-motion,
 Trusteth the delicate leaves feebly beginning to shoot.
 Simply slumbered the force in the seed; a germ of the future,
 Peacefully locked in itself, 'neath the integument lay,
 Leaf and root, and bud, still void of color, and shapeless;
 Thus doth the kernel, while dry, cover that motionless life.
 Upward then strives it to swell, in gentle moisture confiding,
 And, from the night where it dwelt, straightway ascendeth to light.
 Yet still simple remaineth its figure, when first it appeareth;
 And 'tis a token like this, points out the child 'mid the plants.
 Soon a shoot, succeeding it, rises on high, and reneweth,
 Piling up node upon node, ever the primitive form;
 Yet not ever alike: for the following leaf, as thou seest,
 Ever produceth itself, fashioned in manifold ways.
 Longer, more indented, in points and in parts more divided,
 Which, all-deformed until now, slept in the organ below.

So at length it attained the noble and destined perfection,
 Which, in full many a tribe, fills thee with wondering awe.
 Many ribbed and toothed, on a surface juicy and swelling,
 Free and unending the shoot seemth in fullness to be;
 Yet here Nature restraineth, with powerful hands, the formation,
 And to a perfect end, guided with softness its growth,
 Less abundantly yielding the sap, contracting the vessels,
 So that the figure ere long gentler effects doth disclose.
 Soon and in silence is checked the growth of the vigorous branches,
 And the rib of stalk fuller becometh in form.
 Leafless, however, and quick the tenderer stem then upspringeth,
 And a miraculous sight doth the observer enchant.
 Ranged in a circle in numbers that now are small, and now countless,
 Gather the small-sized leaves close by the side of their like.
 Round the axis compressed the sheltering calyx unfoldeth.
 And, as the perfectest type, brilliant-hued coronals forms.
 Thus doth Nature bloom, in glory still nobler and fuller,
 Showing, in order arranged, member on member upreared.
 Wonderment fresh dost thou feel, as soon as the stem rears the flower
 Over the scaffolding frail of the alternating leaves.
 But this glory is only the new creation's foreteller,
 Yes, the leaf with its hues feeleth the hand all divine,
 And on a sudden contracteth itself; the tenderest figures
 Twofold as yet, hasten on, destined to blend into one.
 Lovingly now the beauteous pairs are standing together,
 Gathered in countless array, there where the altar is raised.
 Hymen hovereth o'er them, and scents delicious and mighty
 Stream forth their fragrance so sweet, all things enlivening around.
 Presently, parcelled out, unnumbered germs are seen swelling,
 Sweetly concealed in the womb, where is made perfect the fruit.
 Here doth Nature close the ring of her forces eternal;
 Yet doth a new one, at once, cling to the one gone before,
 So that the chain be prolonged forever through all generations,
 And that the whole may have life, e'en as enjoyed by each part.
 Now, my beloved one, turn thy gaze on the many-hued thousands
 Which, confusing no more, gladden the mind as they wave.

Every plant unto thee proclaimeth the laws everlasting,
Every floweret speaks louder and louder to thee;
But if thou here canst decipher the mystic words of the goddess,
Everywhere will they be seen, e'en though the features are changed.
Creeping insects may linger, the eager butterfly hasten, —
Plastic and forming, may man change e'en the figure decreed.
Oh, then, bethink thee, as well, how out of the germ of acquaintance,
Kindly intercourses sprang, slowly unfolding its leaves;
Soon how friendship with might unveiled itself in our bosoms,
And how Amor at length brought forth blossom and fruit!
Think of the manifold ways wherein Nature hath lent to our feelings,
Silently giving them birth, either the first or the last!
Yes, and rejoice in the present day! For love that is holy
Seeketh the noblest of fruits, — that where the thoughts are the same,
Where the opinions agree, — find the more excellent world.

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